



University of Cape Town  
School of Management Studies

## RESEARCH REPORT

### EMPLOYMENT EQUITY TRANSFORMATION WITHIN VARIOUS LEVELS OF MANAGEMENT IN SELECTED SOUTH AFRICAN MINES

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submitted to the

**FACULTY OF COMMERCE**

in partial fulfilment of the requirements of the degree of

**MASTERS IN PEOPLE MANAGEMENT**

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October 2019

#### DECLARATION

I, **Ludwick, Tebatso, Kekana** declare that this research study is my own work which has not been submitted before in whole, or in part, for the award of any degree or examination in any university. All significant contribution to, and quotation in, this study from the works of other people has been attributed and has been cited and referenced.

Signature: L.T Kekana Date:12/09/ 2019

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## **ACKNOWLEDGEMENTS**

My sincere thanks and appreciation are extended to:

God of Mount Zion for giving me the strengths during difficult and challenging times of my life and to see me through this journey thus far.

Tabea Kabinde, the chairperson of the Commission for Employment Equity for providing me with access to Employment Equity information from the South African Department of Labour.

My supervisor Professor Anton F. Schlechter, for providing me with unwavering professional guidance and advice.

My Human Resources Executive Director Dolphy Mathibe for all her support, without her my registration with UCT and study would have not been possible.

My family's support doesn't go unnoticed and their endeavours to see me completing my studies motivated me to even work harder.

## **ABSTRACT**

### **Background**

There has been slow employment equity (EE) transformation in the South African mining industry, particularly within middle and executive management levels. The number of black Africans in management positions remains low and more needs to be done to bring about the desired levels of representation. If meaningful progress is to be made, it is imperative for the Government and mining companies to implement policies and strategies that aim to improve the representation of EE candidates within management levels.

In the present study, management teams were chosen as the focus because they constitute the strategic leadership of the mining companies and are also the individuals that have the positional authority to design, initiate and manage transformation policies and strategies. It is argued that if management teams embrace and champion EE transformation, organisations are most likely to achieve EE targets.

When the EE statistics of mines in the South African mining industry are compared with one another, it is apparent that certain mines have been more successful in bringing about equity transformation within their middle and executive management teams, than others. The reasons for their success, however, are not apparent and present an opportunity for mining companies to learn from those that have been able to achieve more desired levels of equity representation.

### **Aim of the study**

The aim of the present research study was to investigate mines that have been successful in bringing about equity transformation within their middle- and executive management teams (success cases) to identify possible reasons that explain their success, while also investigating mines that have not been able to bring about meaningful transformation (non-success cases) to so understand what the barriers were that they experience.

## **Method**

An exploratory research design and a qualitative approach to data collection, was utilised for the purposes of the present study. Purposive non-probability or judgement sampling was used to identify nine mining organisations and their EE statistics obtained from the Employment Equity Report (2015/2016). The nine mines were ranked according to equity representation at management levels, using a weighted average. The three success cases, in other words the three mines that had achieved the highest weighted average and three non-success cases (that achieved the lowest weighted averages) constituted a convenient sample of six mines. The human resources (HR) managers for each of these six mines were contacted and asked to participate in the research study.

Semi-structured interviews were conducted with each of the six human resources practitioners. The focus of the interviews with the HR managers from the success case mines was to identify reasons or factors that they believe explain why their mines were able to bring about greater levels of equity in their management teams. In the interviews with the three HR managers from the non-success mines, the focus was on identifying what they believed to be the barriers that are hampering them from achieving their EE targets.

## **Results**

It was found that leadership played the single most important role in promoting and achieving successful EE transformation within management levels. Leaders provide strategic leadership and are able to align transformation to the strategic objectives of the organisation; design and successfully implement change management process; ensure compliance with labour laws; and put EE monitoring and evaluation systems in place.

Within the success cases HR practices, including recruitment and selection, training and development, job rotation, mentoring and coaching, succession planning and talent management policies and practices were effectively implemented and managed. There was further strategic (vertical) alignment between HR practices and policies and the business strategy, as well as horizontal alignment between the HR functions. Although non-success cases had implemented some of the HR policies

and practices stated above, the findings revealed that they were less effective and various obstacles that impeded the attainment of EE targets were present, including a lack of effective change management processes, poor recruitment practices, lack of qualified and experienced human resource practitioners, nepotism and favouritism, an ineffective EE committee, poor monitoring and evaluation of transformation, a lack of succession planning, no or small graduate programmes, lack of job rotation, poor facilities, weak retention and/or performance management, no leadership development programmes, and an organisational culture that does not support transformation.

### **Contribution**

The findings of the present study hopefully provided new insights on the success factors that cause some mines to have success cases of EE representation within management levels, as well as identifying the barriers to effective implementation of EE reforms in non-success mines. Managers in non-success mines are expected to learn about ways to stimulate substantial change to achieve EE targets. Hopefully by effectively implementing the critical success factors these managers will yield better EE targets.

It is imperative for managers and EE consultants to adopt suitable measures such as 1) adopting EE reforms as corporate strategy embraced by the entire organisation; 2) providing effective and committed leadership to champion the implementation of the EE strategy; 3) establishing an EE committee with a mandate to develop a clear EE plan, monitor and oversee the effective implementation of the plan; 4) intertwining the EE plan and employment policies and practices; and 5) providing tangible incentives aligned to the EE targets to ensure success of EE reforms.

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# CHAPTER 1

## INTRODUCTION

Socio-economic transformation dominates the political agendas of most African governments, particularly upon attaining political independence from previous oppressive and racially biased governments. South Africa is no exception to this. Since obtaining a constitutional democracy in 1994, the South African government has begun to address the historic effects of employment inequality caused by Apartheid policies, which led to pervasive socio-economic disparities.

The South African government's commitment to bringing about socio-economic redress led to the introduction of several labour reforms aimed at promoting social and economic justice, equality for all and fair treatment for all of its citizens, especially those that were previously marginalised and disadvantaged. The introduction of various pieces of legislation meant to promote employment equity and socio-economic development, included: the Labour Relations Act (LRA) of 1995, the Basic Conditions of Employment Act (BCEA) of 1997, the Employment Equity Act (EEA) of 1999, the Skills Development Act (SDA) of 1999 and Black Economic Empowerment Act (B-BBEE) of 2003 (Selby & Sutherland, 2006). The purpose of these interventions are to positively impact on the extensive demographic imbalances found at all occupational levels, in both the public and private sectors and bring about equity transformation. However, despite these efforts progress has been disappointing and organisations slow to transform. The South African mining sector is no exception.

The South African mining sector is regarded as a high-risk male-dominated industry, mostly unsuitable for women. Prior to the advent of democracy in South Africa, women working in mines predominantly performed surface work, as opposed to underground work (Commission of Gender Equity, 2016). Furthermore, discriminatory laws such as the Land Act of 1913 and Pass laws perpetuated patriarchal tendencies in mining and resulted in the marginalisation of women in terms of their economic participation. The Land Act of 1913 disqualified black women from owning property, thus impeding their access to collateral security to borrow

start-up capital, while Pass laws restricted the movement of women in search of employment. Sathiparsad, Taylor and Dlamini (2008) argue that in most cultural and social groups, women still assume traditional positions in households, which further restrict their economic participation. These factors have led to a situation where there is a systematic under-representation of woman in mining. Furthermore, as is also still the case in many South African private sector organisations there is an imbalance in the equity representation within mining organisations. Within many South African mining organisations equity candidates are over-represented at lower levels in the organisation, while being under-represented within the various levels of management.

Results from a recent KPMG mining survey revealed that 28 percent of senior management were Black, compared to the Black Economic Empowerment (BEE) code of good practice's target of 60 percent (Ngutshane & Sinobolo, 2014, p. 8). Similarly, the Commission of Employment Equity reported that 63 percent of top management positions in South African organisations were occupied by Whites compared to 20 percent occupied by Africans (Commission for Employment Equity, 2014, p. 15). It is, therefore, evident that despite the introduction of labour legislative frameworks and employment equity reforms that are meant to advance the employment equity agenda and bring about social justice, there has been slow progress in addressing employment equity in the work environment. This lack of equity transformation is especially true, when considering the representation of senior/executive management levels (Booyesen & Nkomo, 2006). In response to this, several studies have investigated the slow change in demographic representation of management within South African companies, as well to identify ways to bring about these changes.

Booyesen (2007) suggested that compliance with labour legislation simply marks the beginning of a transformation process. The achievement of effective institutional transformation should rather be systematic, with the legal framework providing a basis for the change process. To be truly effective, employment equity transformation should be driven by comprehensive employment policies and strategies that target recruitment, human resources development and employee retention.

Several challenges and barriers to achieving employment equity transformation within management levels have been identified. The most notable barriers include a lack of commitment by senior leadership to bring about pervasive transformation and the implementation of ineffective employment strategies. Selby and Sutherland (2006) further suggest that business enterprises in South Africa contend with various obstacles to transformation, citing poor recruitment and employee retention of previously disadvantaged individuals in their quest to achieve a balanced workforce that is reflective of the South African population. Similarly, Booysen (2007) identified specific barriers in the retention of black employees, which included a lack of targeted talent management practices and policies; insufficient training, development and growth opportunities; a lack of succession planning; and inadequate mentorship and coaching of black talent. It is, therefore, argued that the lack of meaningful gender equity transformation in the private sector cannot be improved unless companies show commitment and willingness to change and transform by adopting EE strategies that bring wide-spread social and economic transformation. Similar studies could not be found that investigated these issues within the mining sector, a sector.

The aim of the present research study was to identify reasons and/or factors that contribute to the successful equity transformation of middle- and executive management teams within South African mines, as well as identifying barriers that prevent and/or hamper such change.

### **Problem Statement**

The South African government promulgated the Mining Charter in 2004 with a vision to create a globally competitive mining industry that draws on the human and financial resources of all South African citizens, therefore aiming to offer benefits to all. The Mining Charter (2004) represents an ambitious plan regarding positions of historically disadvantaged individuals. According to the plan, a minimum of 40 percent of employees in executive management, senior management, critical skills, and middle management and junior management positions were expected to be filled by black incumbents by 2014, with 10 percent of those being women, both black and white (CGE, 2016).

Despite the introduction of various labour laws, including the EEA, SDA, B-BBEE Act and the customised Mining Charter in 2004, the mining industry has continued to experience slow progress in bringing about employment equity reforms.

The national Economic Active Population (EAP) is the number of citizens in the South African population eligible for employment in different industries and occupational levels at a particular period. Accordingly, the 2016 national EAP by population group shows that the African group had the highest proportion at 78 percent and the Indian group the lowest proportion at 2.8% (Table 1.1).

**Table 1.1**

**The 2016 South African Economic Active Population**

Male				Female			
African	Coloured	Indian	White	African	Coloured	Indian	White
42.8%	5.3%	1.8%	5.3%	35.1%	4.5%	1.0%	4.2%

(Source: Statistics South Africa, QLFS 3<sup>rd</sup> Quarter, 2016)

A workforce profile analysis of the South African mining industry was compared with the 2016 national EAP. In 2016 the workforce profile for management levels (see Table 1.3 below) indicate that Whites had the largest proportion and Coloureds the lowest (63.8% vs. 3%, respectively). African males were underrepresented, especially so when compared to their EAP proportion (between 15% and 20% vs. 43%, respectively). A notable gender imbalance can be observed, with males predominately occupying management roles (80% males vs 20 percent females, at the same occupational level). A comparison with EAP data suggest that women were under-represented at all levels, even though they represent almost half (45%) of the national EAP.

**Table1.2****Management profile for mining and quarrying by race and gender**

Occupational level	Male				Female				Foreign national		Total
	African	Coloured	Indian	White	African	Coloured	Indian	White	Male	Female	
<b>Top management</b> (includes all executive officers appointed by boards)											
2014	15.4%	1.9%	2.1%	62.4%	5.3%	0.5%	0.6%	7.5%	4.0%	0.2%	100.0%
2015	17.2%	2.0%	2.5%	59.9%	5.4%	0.5%	0.9%	7.5%	3.8%	0.2%	100.0%
2016	19.0%	2.4%	2.5%	56.3%	5.9%	0.6%	0.9%	7.5%	4.6%	0.3%	100.0%
<b>Senior management</b> (includes the middle management such as functional heads appointed by executives)											
2014	16.4%	2.3%	3.5%	58.2%	4.1%	0.5%	1.4%	9.8%	3.5%	0.4%	100.0%
2015	17.7%	2.7%	3.6%	57.2%	4.3%	0.6%	1.5%	8.9%	3.2%	0.4%	100.0%
2016	19.6%	2.6%	3.3%	55.0%	4.6%	0.7%	1.5%	9.1%	3.2%	0.3%	100.0%

(Source: Commission for Employment Equity, 2015-2016)

The 2016 demographic data for top management and senior management positions were quite similar (see Table 1.2). From the summary table, it can be seen that Whites men and woman hold the overwhelming proportion of management positions (55%-62% and 8%-10%, respectively). African males are the next dominant group to hold management positions in the mining sector (15%-20%), followed by African females (around 5%). The remaining equity groupings i.e. coloureds and Indian have no real representation to speak of in management levels within the mining sector (2%-3%), despite representing about 13% of the South African economically active population.

The lack of employment equity transformation of management levels within the South African mining industry prompted the need to investigate the abilities of mining companies to meet their EE targets as set in their EE plans and what can be done to improve the situation.

**Research Question**

What reasons/factors contribute to the effective EE transformation of management within the South African mining industry, and what are the barriers to such change?

## **Research Aim**

The aim of the present research study was to identify reasons and/or factors that contribute to the successful equity transformation of middle- and executive management teams within South African mines, as well as identifying barriers that prevent and/or hamper such change.

## **Research Objectives**

Objective 1: Identify in literature reasons/factors that support equity transformation, especially within management levels.

Objective 2: Investigate mines that have been successful in bringing about equity transformation within their middle- and executive management teams (so-called success cases) and identify possible reasons that explain their success.

Objective 3: Investigate mines that have not been able to bring about meaningful transformation (so-called non-success cases) to identify the barriers they experience that hinders their progress in this regard.

Objective 4: Based on the reasons and barriers to successful equity transformation, make recommendations to mining organisations that will hopefully assist them in reaching their EE targets.

## **Rationale for the Study**

The success of employment equity transformation in all sectors of the South African economy is imperative in eliminating inequality and all forms of unfair discrimination in the workplace. The focus on improving the equity representation within management teams was intentional, given that management sets the impetus for change. If well-represented management teams embrace and implement EE reforms, they are more likely to promote realistic EE targets and achieve them. Systematic and sustained organisational change, such as EE transformation, can

further only be achieved if incorporated into the business strategy, is driven by top management and cascaded down through all levels with an organisation.

It is hoped that the findings of the present study will lead to recommendations that can be incorporated in the development, implementation and management of EE strategies, policies and practices meant to contribute to EE transformation within management levels in South African mines.

### **Structure of the Dissertation**

Chapter 1 provides an introduction and the background to the current study. The problem statement, research questions and objectives are further outlined in this chapter.

Chapter 2 focuses on the literature review and provides a conceptual framework for the study.

Chapter 3 describes the research design, research approaches, methods, sampling, data collection and data analysis.

Chapter 4 provides a logical presentation and analysis of the data collected, the results obtained from this, and the interpretation thereof.

Chapter 5 presents the conclusions and recommendations based on the research findings in Chapter 4. Limitations of the present study, as well as prospective areas of study are also outlined.

## CHAPTER 2

### LITERATURE REVIEW

The purpose of this chapter is to provide a discussion of relevant literature related to the topic, as well as the conceptual framework underpinning the present study. An overview of the relevant labour legislative frameworks, such as EEA, SDA and the B-BBEE Act that mining companies need to comply with is provided.

#### **The South African labour-related legislative landscape**

Prior to the inception of the democratic South African Government in 1994, racial, gender and disability unfair discrimination was rife in South African organisations. The establishment of democratic processes saw the focus shifting to economic emancipation guided by legislation such as the Skills Development Act (No. 71 of 1998), Broad Based Black Economic Empowerment Act (53 of 2003) and the Employment Equity Act (No. 55 of 1998). These laws were enacted to address employment inequalities in the job market evidenced by demographic representation dominated by a White minority and to bring about redress. Brzuzy (1998) suggested that the promulgation of laws to address unfair discrimination due to historical prejudices induces a national tone and provides for a framework of acceptable behaviour, rights and privileges to historically disadvantaged groups to access economic opportunities. Bennington and Wein (2000) concurred that legislation streamlines the parameters of acceptable behaviour to contribute towards meaningful political and economic changes.

Although the South African democratic government is currently 23 years old, the demographic profile of management teams in most companies still represents a skewed distribution whereby the lower levels of most organisational structures depict a demographic profile dominated by the Black group. In stark contrast, the higher one goes up the corporate hierarchy the more the White group dominates (CEE, 2014).

## **Employment Equity Act (EEA)**

Promoting equality for all is one of the cornerstones of the South African National Constitution (Constitution of South Africa, 1996). The EEA embodies one of the ideals of the Bill of rights in the South African Constitution, which is the constitutional right of equality and fairness (Department of Labour, 1998). The primary aim of the EEA is promoting equal employment opportunity and fair treatment through elimination of all forms of unfair discrimination and implementation of affirmative action strategies to advance black people, women and people with disabilities.

Booyesen (2007) argued that the interpretation of employment equity is multi-dimensional depending on the perceptions of different groups of people where, the historically disadvantaged individuals view it as an opportunity to be gainfully employed, while historically non-disadvantaged employees see it as a form of reverse discrimination, racism and even victimisation. The success of employment equity empowerment seems to largely depend on broad antagonistic perspectives that exist within organisations. Leonard and Grobler (2006) suggested that the promulgation of the Employment Equity Act (Act 55 of 1998) was meant to foster equity transformation on the pretext that business enterprises would not on their own freewill drive meaningful empowerment of Black employees, women and the disabled through management and control.

## **Affirmative Action (AA)**

To advance employment equity post-1994 the democratic government of South Africa formulated strategies such as affirmative action, which are not unique to South Africa. Several countries around the world, including most Southern African States and the United States of America implemented various forms of affirmative action policies, as early as 1964 (Brown & Langer, 2015).

Durrheim, Dixon, Tredoux, Eaton, Quayle and Clack (2011) expressed a view that EE policies are a clear practice of reverse racism and argue that some candidates appointed due to affirmative action are less competent. AA policies are at times perceived as being radical and aimed at levelling the socio-economic imbalances and create equal employment opportunities for blacks, including preferential recruitment, succession planning, and accelerated development (Thomas, 2003). On

the other hand, White children born after 1994 perceive EE policies as punitive since they had no direct benefit from apartheid. This generation is justified to view the policies as perpetrating reverse discrimination, while their Black counterparts see them as corrective measures of past inequalities promoted by the apartheid legacy.

It is fundamental to recognise that the formulation and implementation of the EEA of 1998 in order to eliminate all forms of unfair discrimination in the workplace and create a framework for the implementation of affirmative action (AA) measures are meant to foster the employment of so-called designated groups, namely women, disabled and blacks. Bendix (2007) argued that AA should not be seen as merely replacing White employees with Black employees to redress past imbalances, as this would compromise the competitiveness of South Africa in the global economy.

White employees are needed to provide mentorship, coaching and training for a young and inexperienced labour force. Management should take the initiative to formulate skills development and mentorship policies and strategies that promote effective employment equity transition. As a designated AA group, people with disabilities have consistently experience unfair discrimination in most spheres of the labour market and are usually ignored in EE processes (Jongens, 2006).

### **Broad Based Black Economic Empowerment (BBBEE)**

The South African government enacted the Black Economic Empowerment Act or BEE Act (Act 53 of 2003) to accelerate the economic emancipation of specifically black Africans only. The BEE Act was superseded by the Broad-Based Economic Empowerment Act or B-BBEE Act (Act 46 of 2013), which includes seven pillars, namely: 1) ownership; 2) management and control; 3) skill development; 4) employment equity; 5) preferential procurement; 6) enterprise development; and 7) corporate social responsibility. These pillars were later reduced to five pillars eliminating employment equity as a separate pillar and including it as part of management and control. The EEA and B-BBEE are aligned in that they all pursue the advancement of employment equity (Department of Labour, 2014, p. 10). All of them share similar definitions of designated groups and occupational levels.

KPMG (2014) reported that the employment equity pillar is the most challenging of the seven pillars of B-BBEE to implement, but there is little substantiating evidence for this. Despite the rewarding nature of implementing B-BBEE in terms of BEE status, businesses have been slow to bring about employment equity transformation. The mining industry is no different and the lack of EE transformation is readily apparent. On the contrary, it is encouraging to note that the public sector has made significant progress in implementing the legislation to foster employment equity transformation. Black African representation at executive management levels within the public sector closely matches their representation in the demographic composition of economically active South African citizens (CEE, 2014).

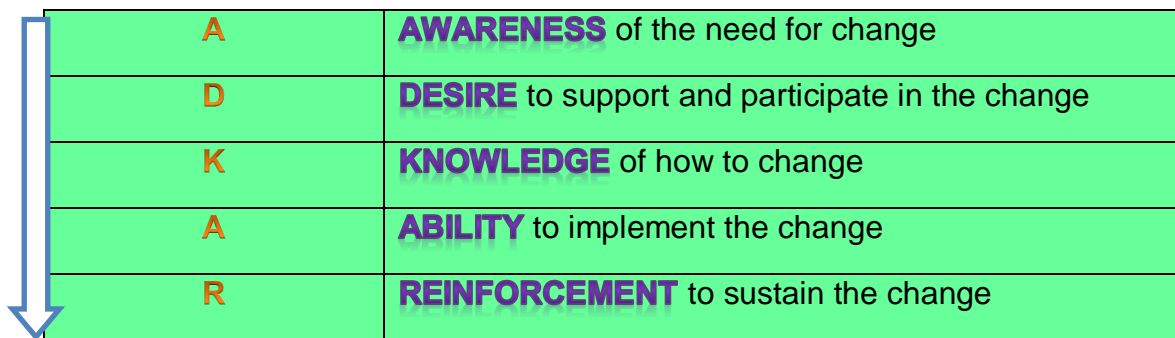
The role of legislated labour frameworks in South Africa is fundamental, because they provide a platform and necessity for the implementation of transformation reforms, such as employment equity and economic development. Thomas (2003) suggested that the value of laws to drive employment equity transformation cannot be down played, while holistic and supportive human resources practices are further also essential to achieve the transformation agenda in the workplace.

Corporate leadership should foster compliance with the relevant provisions of South African labour-related legislation, while also being knowledgeable about change management models. Strategic decisions bring about organisational change and any change should be well managed for it to be sustained.

### **A model for change management**

The awareness, desire, knowledge, ability and reinforcement (ADKAR) change management model is a pragmatic approach to change management (Connelly, 2008; Hiatt, 2006). It is argued that the ADKAR change management model is well-suited to accelerate employment equity transformation in organisations. The ADKAR change management model emphasises the need for management to create awareness for change, desire for involvement to bring change, the knowledge of how to change, ability to implement change and reinforcement to bring sustainable change.

The ADKAR model is graphically represented below (see Figure 1). The ADKAR model is believed to assist leaders/line-managers in bringing about effective organisational change. The ADKAR model emphasises five outcomes: creating awareness for change; instilling a desire for involvement to bring change; providing the knowledge of how to change; ensuring the ability to implement the change; and reinforcement to ensure sustainable change.



<b>A</b>	<b>AWARENESS</b> of the need for change
<b>D</b>	<b>DESIRE</b> to support and participate in the change
<b>K</b>	<b>KNOWLEDGE</b> of how to change
<b>A</b>	<b>ABILITY</b> to implement the change
<b>R</b>	<b>REINFORCEMENT</b> to sustain the change

**Figure 1: ADKAR model for change management**

(Source: Hiatt, 2006)

### ***Awareness***

The ADKAR change model begins with a need for management to be conscious of the need for change, why it is necessary to change and the benefits that can result from the change. Leaders need to also understand the consequences of not effecting the desired change (Connelly, 2008; Hiatt, 2006, p.10).

### ***Desire***

The next sequential step i.e. after awareness is the desire individuals have to change. Individuals should be motivated and encouraged to be part of the change. The challenging aspect of this step in the model is that an organisation has limited control of the choice of individuals (Connelly, 2008; Hiatt, p. 20). Not understanding the existence or need for change may cause individual employees to not be part of a change process.

### ***Knowledge***

Apart from being aware of the need for change, being willing to be part of the change and having a desire to change, individuals engaging in any change should know how to effect the change. They need to have the required knowledge of change management processes involved in making any envisioned change a reality.

By means of training, education and development an individual can acquire the much needed skills and understand the new processes and systems, as well as the new duties and responsibilities to start the transformation process (Connelly, 2008; Hiatt, p. 24).

### ***Ability***

After acquiring the essential knowledge and skills to effect change, one would need to practice. Ability enables individuals to implement any change and reach the expected goals. This step involves the actual execution of the change work, as well as the associated processes and procedures. To succeed in this step, organisations should allocate adequate time to employees, as well as provide training, coaching and regular performance feedback (Connelly, 2008; Hiatt, 2006, p. 34). Change agents for EE change should be knowledgeable of the relevant strategies that should be implemented to effect successful EE transformation.

### ***Reinforcement***

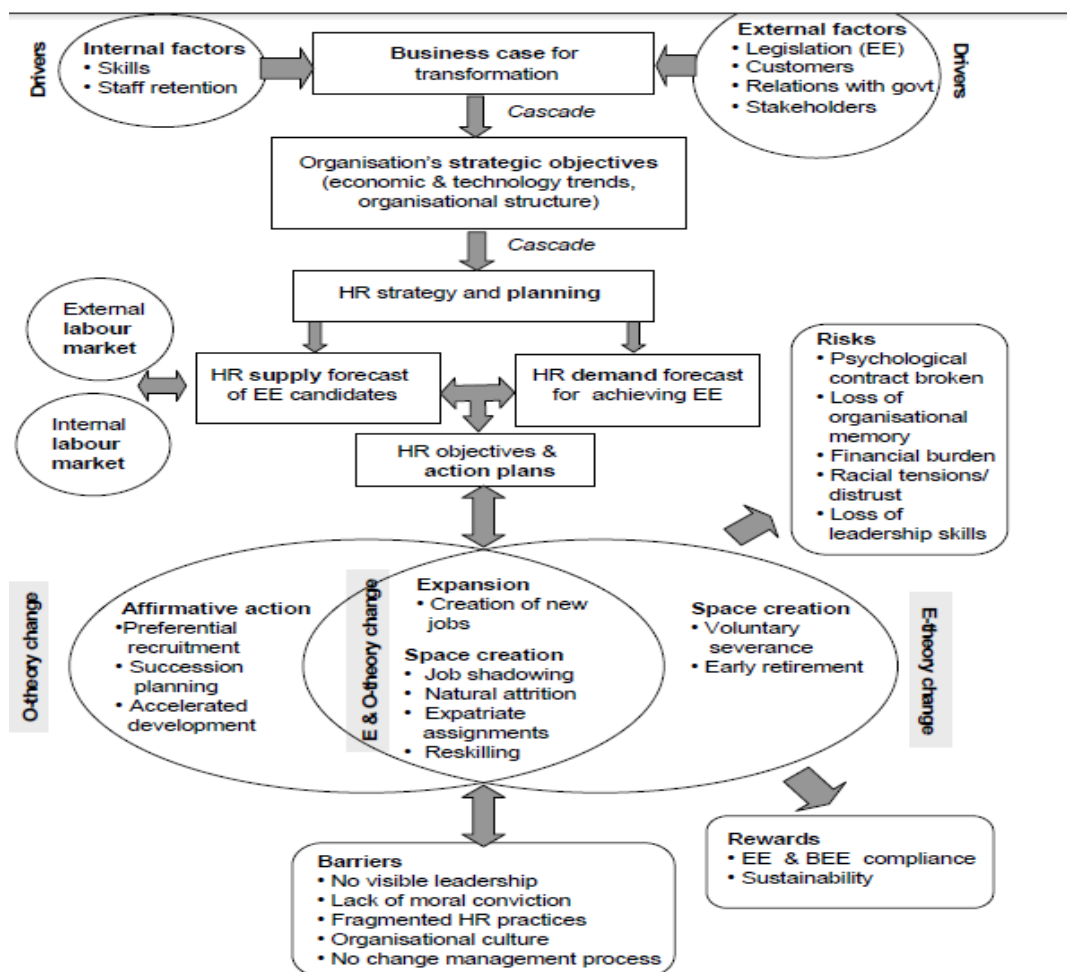
This is the last step of the ADKAR model and entails consolidating and celebrating the successes, and making change a component of the organisational structure. The change should further be reinforced to make the change sustainable. To ensure that the change is sustained and becomes part of the corporate culture, reinforcement is needed. Any change initiative should be upheld for as long as it takes to become part of organisational culture (Connelly, 2008; Hiatt, 2006). Incentives and rewards should further be given to individuals to foster sustainable EE change and embed it in the corporate culture.

The discussion above on change management model supports the argument that EE transformation should be a strategy that should be implemented following a change management process and should be approached holistically in order to yield

considerable positive EE outcomes. Accordingly, Selby and Sutherland (2006) proposed a model for managing employment equity that outlines strategies and policies that should be implemented and guide the discussion by providing a suitable model for change management.

### A model for managing employment equity

Selby and Sutherland (2006) proposed a model for managing employment equity for the successful execution and implementation of transformation strategies that engrave a concept known as space creation. The model is based on Boonzaier and Boonzaier's (1999) model for human resources planning. According to Selby and Sutherland's (2006) model, space creation is described as any course of action that persuades senior White managers to leave the organisation and so create opportunities for black managers to assume their roles (Figure 2 below).



**Figure 2: Model for managing employment equity**

(Source: Selby & Sutherland, 2006)

The main factors of the model are:

### ***Theory O change***

Theory O change is based on the premises that O - organisational capability is a soft approach to effect change. The theory entails strategies that foster the development of culture and human resources, as well as organisational learning (South African Board People Practices (SABPP), 2017). The SABPP recommends the development of competent employees to improve the state of employment equity in companies. Theory O change is aligned to traditional affirmative action strategies that include preferential recruitment and selection, accelerated development, succession planning, and talent management, which assists in maintaining the psychological contract with existing employees and to maintain their commitment (Selby & Sutherland, 2006, p. 45).

### ***Theory O & E change***

The strategies are a combination of affirmative action and space creation strategies, such as natural attrition, job shadowing, and the creation of new positions and opportunities like expatriate assignments and retraining (Selby & Sutherland, 2006).

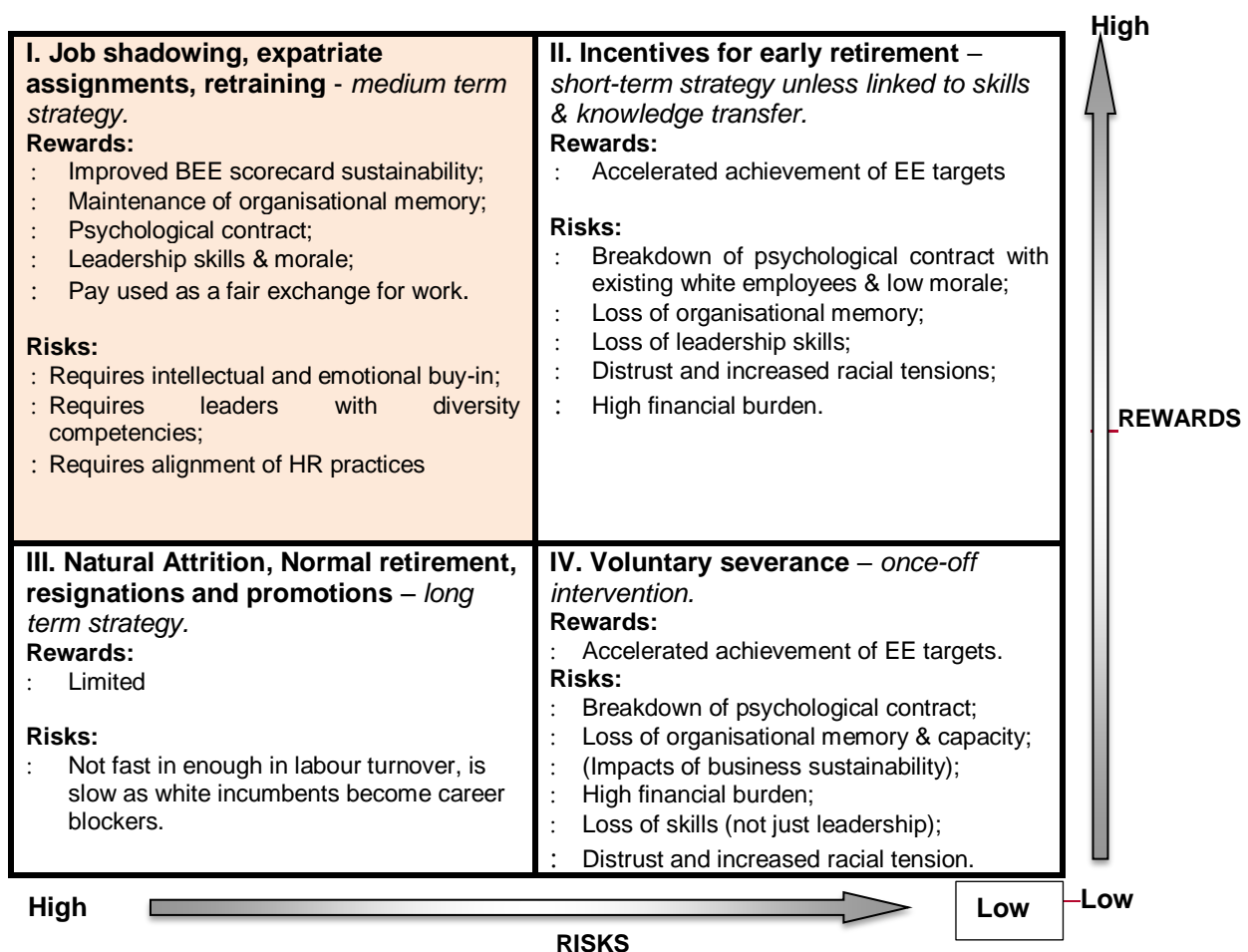
### ***Theory E change***

Theory E change is based on the assumption that economic value (E) is associated with shareholder value and this is viewed as the only legitimate measure of success. Theory E encompasses strategies that foster rapid turnaround, such as restructuring, downsizing and layoffs (Beer & Nohria, 2000). Theory E emphasises interventionist space creation strategies, such as voluntary severance packages and early retirement incentives. Interventionist space creation strategies are measures to accelerate EE change that are E-types of change where shareholder value entails the organisation's association with government in compliance with the EE and B-BBEE Acts (Selby & Sutherland, 2006).

Organisations should further take note of the existence of barriers to employment equity transformation targets, such as a lack of strong leadership, weak

organisational culture and fragmented human resource practices (Selby & Sutherland, 2006).

According to Selby and Sutherland (2006) space creation refers to strategies that promote the accelerated achievement of EE targets. These strategies include: job shadowing, natural attrition, expatriate assignments, and reskilling. The gradual implementation of space creation can lead to positive long-term effects on organisational performance. Selby and Sutherland (2006) extended the model to reflect the risks and rewards of implementing the space creation concept and affirmative action strategies (Figure 3 below). Quadrant 1 is the preferred quadrant, which is driven by strategies, such as job shadowing, expatriate assignments and retraining.



**Figure 3: Model for risks and rewards of space creation strategies**

(Source: Selby & Sutherland, 2006, p. 61)

Accordingly, a company is rewarded with an improved BEE scorecard and low risks in intellectual and emotional buy-in, to name a few. Selby and Sutherland (2006) suggested that compliance with B-BBEE pillars impacts on an organisation's sustainability. Companies that have a high BEE score enjoy competitive advantages such as financing and preferential procurement contracts.

It is vital for executive management and policy makers to be well informed about the implications of selecting and deploying a particular combination of EE strategies for the success an organisation in the short-term, medium-term and long-term. It is further an imperative to develop and implement strategies that contribute towards sustainable organisational performance that drives employment equity as a matter of compliance.

### **Critical success factors for employment equity**

A number of success factors for bringing about employment equity have been identified, including employment policies and practices; recruitment and selection; skills training and development; retention strategies; and mentoring and coaching systems. Other support factors include leadership commitment; good corporate governance; diversity management and corporate culture.

#### ***Employment policies and practices***

It is imperative to discuss the human resources practices and policies that contribute to achieving and advance equity transformation within the workplace. Organisations engage in a wide array of human resources practices, such as recruitment and selection, coaching and mentorship, succession planning, talent management, retention strategies and skills development.

Due to the slow progress of transformation and inadequate legal compliance, Wörnich *et al.* (2015) advocated for the adoption of increased human resources intervention strategies. In support of this view, Thomas (2002) drew from the experiences of countries such as Britain, Canada, India, Malaysia and Zimbabwe where aspects of best practices included: an inclusive consultative process; target setting and monitoring by a credible authority; clear communication; executive

management commitment; and comprehensive training, development, mentoring and coaching systems.

### ***Recruitment and selection***

Recruitment and selection are necessary to ensure that an organisation attracts the most suitable candidates to fill vacant positions. Organisations aim to attract the right candidates, with the right skills for the right position, at the right time. According to Booysen (2007) recruitment policies and strategies should be aligned and integrated with strategies that are targeted at promoting employee retention.

Selby and Sutherland (2006) pointed that the slow pace in employment equity reforms is influenced by inadequate development of critical and scarce skills internally, meaning there is little opportunity to fill vacant positions by means of promotions. Furthermore, it is suggested that employment equity policies and strategies be audited and aligned with EE targets. Management should make every effort to align recruitment and selection strategies and policies, with EE legislation.

Researches on selection bias have also shown that interviewers prefer people with similar background to them, often without being aware of their biases (Selby & Sutherland, 2006). According to Bell (2013) these phenomena constrain major diversity inroads in companies and tend to work against women in particular and minority groups in general.

Organisations need to be non-discriminatory in their recruitment and selection, allowing for a large enough pool of EE candidates to enter the workplace. Without an adequate diverse workforce entering the organisation it will be impossible for the organisation to reflect the national demographic representation.

### ***Skills training and development***

Wärnich *et al.* (2015) described learning and development as a process that endeavours to develop intellectual and human capital that serves as a basis to create a competitive advantage. They further suggest that skills development provides a platform for developing managerial capabilities, front-line employees' skills for promotion opportunities, and management succession (Wärnich *et al.*,

2015). Theron (2009) suggested that there should be careful consideration of evaluating the learning potential of EE candidates to ensure reasonable returns on investment, otherwise the investment would be counterproductive.

### ***Retention strategies***

Organisations seem to be losing black employees at a faster pace than the recruitment pace due to several reasons including lack of commitment from leadership to apply sustainable retention measures (Booyesen, 2007). If there is high turnover of EE candidates the organisation would fail to meet the set EE targets.

Selby and Sutherland (2006) suggested that retention strategies are essential internal drivers of employment equity in the workplace. If an organisation is to make a notable change in equity transformation, the rate of employee turnover should be deliberately kept at the lowest level possible, especially amongst employees from designated groups.

Wärnich *et al.* (2015) divided retention strategies into four categories, namely: compensation and benefits; organisational environment; work/development environment; and work-life balance. These retention strategies should be used to support the achievement of employment equity targets.

### ***Mentoring and coaching systems***

Thomas (2003) suggested that one of the best practices to achieve EE targets is by implementing mentoring and coaching programs for EE candidates to prepare them for potential appointments in management positions. Nzukuma and Bussin (2011) posited that there is lack of mentorship for black managers in South Africa. Not being provided the required mentorship shortage may result in slow equity transformation. If mentoring and coaching is adopted as part of the organisational culture, the available pool of potential candidates for promotion and management succession is likely to improve, in terms of both quantity and quality.

## **Other critical success factors**

Several support factors are further crucial to bringing about employment equity transformation, including leadership commitment; good corporate governance; diversity management and corporate culture.

### ***Leadership commitment***

Northouse (2014) defined leadership as the ability to influence others or individuals to achieve a common goal. Similarly, Yukl, (2013, p. 23) broadly defined leadership as "...the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives".

The indispensable role of executive management in introducing and implementing systemic organisational change is achieved through deliberately developing an integrated strategic direction, building a supporting coalition of employees who buy into the strategy and co-ordinating the process by which the strategic plan will be put into action. Yukl (2013) suggested that top management should encourage middle- and lower management to bring change in their units in a manner that is consistent with the vision and strategy of the company. Thomas (2003) shared the view that in-line with promoting equal representation in the workplace, executives should provide encouragement and adequate resources to bring about transformation, and should also not dictate the details of how to do it.

Management at all levels within the organisation should regularly monitor and evaluate the achievement of EE targets. Yukl (2013) made an observation that there is a continuous debate among change scholars regarding the optimal pace and sequencing of desired transformation. Adopting the correct pacing of desired change may lead to the achievement of positive outcomes without compromising the overall success of the organisation.

The interaction between a leader and followers is voluntary, non-coercive and is aimed at bringing about positive change. Successful organisational change is highly dependent on the quality of leadership. Without sound and committed leadership, it

would be nearly impossible for organisations to achieve meaningful employment equity targets. The slow progress and lack of equity transformation in the workplace is ascribed to poor or no transformational leadership (Bloom & Lues, 2013).

The implementation of the SDA, EEA and the B-BBEE legislation to redress inequality in the workplace, undoubtedly calls for leadership to adopt new ways of dealing with the relevant provisions of these laws. The implementation of the labour-related legislation requires the adoption of a change management process in and of itself. In a study conducted in South Africa, Nkomo and Kriek (2011) found that most transformational leaders faced resistance from middle and lower managers with regards to the implementation of transformation initiatives. Booysen (2007) attributed the slow progress in employment equity reforms to a lack of leadership commitment to transformation.

While change management models provide a theoretical framework for implementing employment equity transformation, effective leadership is essential to guide change management and ensure compliance with the relevant labour laws. In light of the present study, fostering employment equity is perceived to be a strategic decision, which is dependent on the commitment and involvement of an organisation's leadership.

### ***Good corporate governance***

The King VI Report on Corporate Governance in South Africa (2016) recommends that organisations should comply with the provisions of the EEA, and B-BBEE Act. Stakeholders such as the general public, civil society and government are expected to place pressure on companies that are not transforming. This may result in customers boycotting products or services not sourced from organisations with workforces that are representative of the demographics of the South African population. It is also clear that leadership and management commitment and accountability are important elements in achieving employment equity targets (Booyesen, 2007). Companies that lack good corporate governance would be unlikely to respond to the goals of the stakeholders, especially the government's quest for employment equity transformation. The findings by Daya (2014) highlight the

importance of senior leadership in promoting diversity by creating appropriate structure and processes in their companies.

### ***Diversity management***

Managing diversity is a long-term commitment compared to affirmative action, which is seen as a more short-term process. The success of diversity management processes requires commitment from senior leadership to ensure that all employees achieve their full potential (Wärnich *et al.*, 2015).

Diversity has a number of dimensions and it is not limited to race and gender, but also encompasses elements such as education, age, disability, language and culture. When diversity is effectively managed, a firm is likely to experience positive gains such as creativity, innovation, product quality and improved decisions. The implementations of diversity training in large organisations have yielded little positive impact, as evidenced by insignificant change in corporate culture (Wärnich *et al.*, 2015).

Horwitz and Jain (2011) further argued that when organisations perceive the drivers of employment equity and diversity as legislative and regulatory, the trend is to uphold a tick box mentality resulting in compliance as opposed to commitment, which does not promote successful transformation. The diversity challenge in the South Africa context centres on embracing the historically disadvantaged individuals in the workforce, while diversity concerns in most western countries revolve around increasing the representation of minority groups (Daya, 2014). Therefore, the misalignment in occupational representation at management level in South African companies can be viewed as unique.

Most South African mining companies are multi-national companies exposed to global competition. Dervern (2013) concurred that companies are increasingly becoming more global in their quest to access new business opportunities for growth and expansion. The global business perspective has motivated organisations to embrace a more inclusive diverse workforce. The success of diversity management appeals to leadership and managerial capabilities of proactive business leaders. Takavoli (2015) pointed out that diversity and inclusivity increase effectiveness of

organisations and improve workplace innovation. This justifies the need to correct employment equity disparities in the workplace and drive towards diversity through a workforce that is reflective of the demographics of the South African population.

### ***Organisational culture***

According to Sales (2006, p. 62) organisational culture is defined as the "...character of an enterprise's internal work climate and personality, which is underpinned by specific values; beliefs; business principles, traditions that are ingrained through employee behaviour." Sales (2006) further posits that organisational culture drives the behaviour of employees in an organisation. Human resources policies and practices are informed by the culture of the organisation. An organisation that for example has a strong bias toward conducting business with homogenous teams and has a distinct culture will encounter some difficulty in changing from its status quo.

It is one of the primary roles of leaders is to manage change by fostering an organisational culture that embraces and promotes cultural diversity. Schein (2010) suggests that, in managing change, leaders should be prepared to step partially outside their cultural comfort zone with an objective view and place promoters in suitable positions to effect change. The systems of an organisation should further be such that a supportive culture is inculcated in which transformation is embraced. This present study sought to establish the influence of corporate culture on employment equity transformation in the workplace.

The role of corporate leadership in providing a culture of good governance in companies leads to the establishment of a clear strategic direction that guides the implementation of functional strategies. In the context of the present study, the employment equity strategy should be aligned to the human resources strategy to promote the achievement of the EE targets. This implies that employment equity reforms should be imbedded in human resources employment policies and practices in order to enhance meaningful progress.

A summary of the critical success factors for Employment Equity described above is provided in Table 2.1 below.

**Table 2.1**

**Summary of critical success factors for Employment Equity**

<b>Employment policies and practices</b>	<b>References</b>
Recruitment and selection	Booyesen (2007); Selby & Sutherland (2006); Bell (2013)
Skills training and development	Wärnich, et al. (2015); Theron (2009)
Retention strategies	Selby & Sutherland (2006); Wärnich, et al. (2015); Booyesen (2007)
Mentoring and coaching systems	Nzukuma & Bussin (2011); Thomas (2002)
<b>Other critical success factors</b>	
Change management process	Connelly (2008); Hiatt (2006); Selby & Sutherland (2006)
Corporate Leadership	Daya (2014); Thomas (2003); Jain, Sloan & Horwitz (2003)
Good corporate governance	Booyesen, (2007)
Diversity Management	Daya (2014); Dervern (2013); Wärnich, et al. (2015)
Corporate Culture	Schein (2010); Sales (2006);

**Obstacles impeding EE transformation**

A number of success factors for bringing about employment equity have been identified, including not having change management processes; no visible leadership; rigid organisational culture; lack of self-interest; moral convictions; Fragmented human resources practices

***Not having change management processes***

Selby and Sutherland (2006) found that it is difficult to effect strategic change, such as EE transformation without a clear structure within to execute such change. When change is introduced without a clear change process, failure to implement the change is in their opinion inevitable. Miscommunication and under communication are common impediments of clear communication of the change vision. To achieve meaningful progress and success, the change vision should be communicated regularly for each change activity (Connelly, 2008; Hiatt, 2006).

### ***No visible leadership***

Lack of strategic leadership negatively impacts the provision of important factors that foster and support successful change implementation. Effective leadership assists in ensuring the allocation of adequate resources; design of organisational structure, development of a suitable organisational culture; appropriate reward system and other tactical processes and procedures such policies, short-term objectives and budgets (Grant, 2014; Venter, 2014).

Leadership is further required to provide a clear vision for the change, which holds the change activities together and keeps it focused. Selby and Sutherland (2006) suggested that EE change is insignificant in some organisations due to a lack of effective leadership to steer change processes and promote buy-in from all the relevant stakeholders.

### ***Rigid organisational culture***

The culture of an organisation can be an obstacle to strategic change and EE transformation is no exception. Agocs (2002, p. 258) commented that "...unfair discrimination patterns exist in organisations supported by inhibitive institutionalised practices, norms and values that foster exclusionary structures, opportunities and power relationships." Booysen (2005) stated that the slow progress in implementing EE in some organisations can be attributed to a culture of entitlement, usually held by White management teams.

Some organisational cultures are more flexible or malleable, implying that they can adapt much more easily when changes are made. Other organisational cultures are more rigid and this may inhibit the effective implementation of change (Hill et al., 2004). Weak corporate cultures can make it difficult for organisations to embrace change and pursue its implementation, thereby impeding the successful execution of such change.

### ***Lack of self-interest***

Durrheim, Dixon, Tredoux, Eaton, Quayle and Clack (2011) argued that black people are likely to be supportive of affirmative action policies out of self-interest, as opposed to their white counterparts who have every reason to believe that such

policies would reverse their gains. In this manner, a lack of mutual understanding and commitment to equity transformation from both racial groups may impede the achievement of equity targets.

Horwitz and Jain (2011) were of the opinion that legislation drives a compliance outcome approach, instead of commitment. A compliance approach is not sustainable and can even be counterproductive. It can further easily promote dissonance in an organisation if employees realise that management is not being authentic, but merely putting up a front.

### ***Moral convictions***

Some white managers' lack the moral conviction to embrace employment equity transformation and drive tangible progress in their companies. Such companies have been ineffective in eliminating occupational under-representation and disparities. This perception is supported by Maharaj (2003) who opined that white managers believe that employment equity has caused a breakdown of the transitional and relational components on the psychological contract in companies that they work for. This argument is supported by Thomas (2003) who suggested that White managers may have a culture of entitlement for management dominance.

### ***Fragmented human resources practices***

The fragmentation in the human resources practices and policies implemented by organisations to promote meaningful equity transformation is a major barrier to bringing equality in the workplace. South African Board People Practices (SABPP) (2017) reported that the broader implementation of employment equity within human resources planning will not only ensure compliance with the legislative targets, but may also improve the overall effectiveness of an organisation in fulfilling its strategic goals.

Organisations may lack human resources strategies and plans of actions to address human resources objectives in line with employment equity targets. Selby and Sutherland (2006) proposed that organisations faced with a surplus of white males could consider retrenchment, demotions, transfers, job sharing, early retirement and retraining.

A summary of the obstacles impeding EE transformation described above is provided in Table 2.2 below.

**Table 2.2**

**Summary of obstacles impeding EE transformation**

Obstacles	Reference
No change management process	Connelly (2008); Hiatt (2006); Selby & Sutherland (2006)
Lack of leadership	Selby & Sutherland (2006); Grant (2014); Vantor (2014)
Rigid corporate culture	Agocs (2002; Booyesen (2005); Selby & Sutherland (2006); Hill et al. (2004)
Lack of interest	Durrheim et al ., (2011); Horwitz & Jain (2011)
Moral convictions	Maharaj (2003); Thomas (2003)
Fragmented human resources practices	SABPP (2017); Selby & Sutherland (2006)



**Figure 4: Summary of antecedents of high EE targets**

### **Drawbacks of employment equity**

Mare (2011) emphasises the importance of considering the inevitable disadvantages of employment equity decisions that some of the designated groups may face in order to eliminate potential inequalities that may arise. Since women in management are underrepresented, white women may encounter reverse discrimination because of their race. Although the South African Constitution Act (1996) promotes the achievement of substantive equality, efforts should be made to recognise the existence of the multi-layered disadvantage faced by members of designated groups such as gender and ethnicity.

Papacostantis and Mushariwa (2016) called for the adoption of a situation-sensitive approach by management of companies. However, the main focus of the current study is to interrogate the Black representation at management levels in mining companies. Nzima and Duma (2014) posit that failure to manage affirmative action can promote discriminatory language that undermines the merits. The beneficiaries of the employment equity transformation would be disenfranchised. The employment equity policy may also be susceptible to corruption and nepotism leading to the employment of undeserving candidates, which fail to achieve organisational goals. It is the responsibility of management to ensure that implementing employment equity eliminates possible inequalities within and across the designated groups (Papacostantis & Mushariwa, 2016). This view was corroborated by SABPP (2017) that the implementation of employment equity may be at the expense of service delivery.

### **Conclusion**

Booyesen (2007) provided evidence which suggested that there has been slow progress in terms of bringing about employment equity transformation in many organisations, despite an expectation that they comply with the EEA, SDA and B-BBEE Acts. In this regard the South African mining industry is not unique. The lack of employment equity transformation, both in terms of workforce and management is readily apparent in the South African mining industry.

The ADKAR model for change management was discussed and suggested for implementing EE strategy (Connelly, 2008). The ADKAR model comprises the

following three phases: awareness of the need for change; desire to support and participate in the change; knowledge of how to change; ability to implement the change; and reinforcement to sustain the change. Furthermore, Selby and Sutherland's (2006) model for managing employment equity was discussed and is underpinned by two premises, namely 1) Theory E – representing economic oriented factors perceived as a hard approach to change driven by factors such as downsizing, lay-offs, and restructuring; and 2) Theory O – based on organisational human oriented capabilities such as cultural and human capabilities development (South African Board People Practices (SABPP), 2017). Based on the best practice, which combines Theory E & O factors, EE transformation may be accelerated by drivers such as preferential recruitment and selection, accelerate development and succession planning, job shadowing, and the creation of new positions, expatriate assignments, retraining and early retirement incentives. On the other hand, the EE implementation process may be impeded by barriers such as; lack of strong leadership, lack of interest, moral convictions, fragmented human resources practices, and weak organisational culture.

## CHAPTER 3

### METHOD

The research design and approaches, methods, target population and sampling, data collection procedures and data analysis are discussed in this chapter.

#### **Research design**

Sekaran and Bougie (2013) define a research design as a strategy that is used to collect, analyse and interpret data in order to answer a research problem. Where there is a dearth of studies on a research topic, it is suggested that an exploratory research design be followed where a researcher first conducts an in-depth review of available literature, followed by individual and focus group interviews to explore and more fully grasp the phenomena under investigation (Saunders & Lewis, 2012; Sekaran & Bougie (2013). The primary focus of exploratory research is to investigate the content and context of the research question and establish new insights about a certain phenomenon. Cooper and Schindler (2011) suggested that explanatory research focus on answering why and how types of questions by identifying causal factors and outcomes of a specific phenomenon.

Given that previous studies were not found and based on the arguments above, it was believed that an exploratory research design would be appropriate for the purposes of the present study. After surveying the available literature, semi-structured interviews were conducted to collect primary data in an effort to provide explanations for the low employment equity transformation with management levels in South African mining companies. The research process, which was chosen, followed an inductive approach where it proceeded from specific observations to broader generalisation through open ended exploration.

#### **Research method**

The Success Case Method is an evaluative approach that focuses on determining the impact of a training intervention. The method establishes the nature of results (positive and negative) induced by the training intervention. The SCM ascertains the high success cases resulting from specific aspects of a training intervention that

worked, while factors hindering success from happening lead to non-success cases (Brinkerhoff, 2003). The SCM was adapted for the present study since the study focused on investigating mines that have been successful in achieving EE targets within their management teams (i.e. success cases) to identify possible reasons that explain their success, while also investigating mines that have not been able to bring about meaningful EE reforms (i.e. non-success cases) to so understand the barriers they experience.

Firstly, purposive non-probability or judgement sampling was used to identify nine mining organisations that were conveniently accessible and their EE statistics obtained from Employment Equity Reports (2015/2016). The EE information for the mines was used to rank the mines according to the equity representation of their management levels, using a weighted average. Three success cases, in other words the three mines that had achieved the highest weighted average and three non-success cases (that achieved the lowest weighted averages) constituted a convenient sample of six mines. The human resources (HR) managers for each of the mines in the sample were contacted and asked to participate in the research study.

Semi-structured interviews were conducted with each of the human resources practitioners. The focus of the interviews with the HR managers from the success case mines was to identify reasons or factors that they believe explain why their mines were able to bring about greater levels of equity in their management teams. In the interviews with the three HR managers from the non-success mines, the focus was on identifying what they believed to be the barriers that are hampering them from achieving there EE targets.

### **Research approach**

As described above, a mixed methods approach to data collection was followed, in other words the methods integrated both qualitative and quantitative techniques to gather qualitative primary data and quantitative secondary data. The data collection approach can further be described as having been cross-sectional and *ex post facto*.

A mixed methods approach was selected for the purposes of the present study because of the benefits ensuring the validity of research findings. Since the mixed method applies between-method triangulation i.e. by combining qualitative and quantitative approaches, it was believed that a better and deeper understanding of employment equity transformation at management levels within South African mining companies could be achieved. The other benefits of a mixed-methods approach include: 1) the ability to uncover contradictions by corroborating facts; 2) comprehensiveness through elaboration and enhancement of results; and 3) integration of theories can be achieved by discovery of paradoxes (Guba & Lincoln, 2005).

### **Research plan**

As described above, three phases were employed for the purposes of the current study. In the first phase data were collected from EE reports for the nine mines that had been chosen. In the second phase the EE data was used to rank the mine in terms of the representivity of each of their management levels. Based on the weighted means, the three most representative and the three least representative mines were identified. In the third phase, face-to-face interviews were conducted with HR managers from the selected mines. Each of the phases is described further below.

### **Phase one: Secondary quantitative data**

Employment equity reports (2015-2016) for the mining companies that were identified using judgement or convenient sampling, were used to extract numerical data on the racial and gender demographic representation at management levels. The numerical data relating to employment equity at top and senior management were collected for each mining company and coded as Mine A to Mine I. The race and gender demographics for the two management occupational levels were collected for each mine and were used to calculate an index based on the weighting give for gender and racial representation of the management levels. This index was then used to rank the mines and identify success and non-success cases.

### **Phase two: Ranking of management equity**

A composite weighted racial and gender mean for top and senior management levels was calculated for each mining company and used to rank them from 1 – 9. Based on this index, the three success cases and three non-success cases were identified.

The weighted mean or representivity index was calculated as follows:

*Total weighting of top management + Total weighting of senior management)  $\frac{1}{2}$  for each race and each gender.*

Based on a merit list the success cases were coded SC1, SC2 and SC3, while the low success cases were coded NSC1, NSC2 and NSC3 as depicted in Tables 3.4 below.

### **Phase three: Primary qualitative data**

Semi-structured interviews were used to gather primary data about employment equity practices and policies that promoted transformation and also obstacles impeding on the effective implementation of employment equity practices in the selected mines. The semi-structured face to face interviews were conducted with human resources managers or directors of the selected mines because they have direct involvement with EE policy design and implementation in their organisations.

As supported by Sekaran and Bougie (2013), face to face interviews provide a researcher with an opportunity to present questions with clarity and repeat and rephrase the questions when necessary. Moreover, direct interviews also help a researcher to identify non-verbal cues from the participants. The reasons stated above justified the selection of the interview method for the present study.

### **Measuring instrument**

As described above, a semi-structured interview schedule was used to collect primary data. The interview guide, that was utilised for the present study was adapted from those used in the Brinkerhoff's Success Case Method (SCM), which was designed as a tool in training programme evaluation (Brinkerhoff, 2003).

The SCM proposes categories or buckets to be used with both success case interviews and non-success case interviews. A particular category of information is represented by each bucket are asked until all the relevant information in the category has been gleaned. A different set of buckets was used for non-success case interviews from those used for the success case.

### **Semi-structured interview guide**

The success cases interview framework is designed with five questions or buckets as referred to in the SCM. For the purposes of the present study, the five questions or buckets used by Brinkerhoff (2003) in the Brinkerhoff Protocol Conceptual Model was adapted to collected data about employment equity practices in the sampled mining companies.

For the success case interview guide, the following five questions or buckets were used:

**What was used?** The question was related to what was happening in success cases in terms compliance to labour, the process of implementing employment equity reform and the human resources strategies, policies and practices instituted.

**What results were achieved?** The results were related to the effectiveness of human resources practices and what was accomplished.

**What good did it do (value)?** The question was focused on the importance of the accomplished EE results.

**What helped?** This question explored the special incentives and rewards that encouraged the EE reforms.

**Suggestions** to further improve the EE status-quo at management level formed the last part of the interview guide.

For the non-success case interview guide the following two questions or buckets were used:

**Barriers?** The obstacles impeding the effective employment equity in low success cases were investigated and;

**Suggestions** of addressing the effective implementation of the EE reforms in low success mining companies were sought.

### **Validity and reliability**

Measures were taken to ensure, as far as possible, the validity and reliability of the measuring instrument. The focus on validity and reliability was on enhancing the objectivity and ensuring that similar results may be achieved in different cases and times.

The semi-structured interview guide used for the purposes of the present study was an adaptation of the Brinkerhoff Protocol Conceptual Model. To achieve face validity, it was decided to not design questions from scratch, but rather to base them on existing questions, such as those used in the SCM that have shown to be valid in the past.

Face validity was ensured by evaluating the items for appropriateness and adjusted with the assistance of the experts to elicit the desired responses i.e. to identify factors related to successfully achieving EE targets and obstacles or barriers that prevent mines from achieving their EE targets.

External validity, which relates to the possibility of generalising the results of the study, is given the chosen sampling approach not possible (Bryman & Bell, 2015).

To assess the reliability of the semi-structured interview guide i.e. to assess if one consistently obtains similar results and with similar cases, a pilot study was conducted (Nani, 2011). The pilot study was conducted with individuals similar to participants to ensure the suitability of the questions in a bid to enhance the replicability of the research with similar participants in a similar situation. The feedback from the participants of the pilot study was used to ensure that the intended responses were obtained during the interview sessions. Once completed, the participants were debriefed to assess and appreciate their contributions.

After completing the pilot study, it was believed that the semi-structured interview guide was appropriate to use and that there was no reason to doubt the validity and reliability of the results obtained by using it for this purpose.

### **Ethical considerations**

Necessary measures were taken to ensure that all possible ethical issues related to the proposed study are strictly considered. Since the research project required the participation of human beings, relevant laws and ethical values were complied with to avoid violating the rights of the participants. The Commerce Ethics in Research Committee approved the data collection instruments before the actual data collection. Leedy and Ormord (2013) suggested that there are at least four ethical issues to be considered in research such as voluntary and informed participation, right to privacy, harm to participants and honesty. Consistent with the proposed issues, we ensured voluntary and informed consent, privacy and honesty to professional colleagues.

#### ***Voluntary and informed consent***

Participants were requested to voluntarily take part in the proposed study and that they were free to withdraw from the study at any stage when they decide. They were accorded the opportunity to read and understand the information sheet and have the opportunity to ask questions without there being any negative consequences. Participants confirmed their participation in the study by completing and signing the interview consent form (Appendix 2) before participating in the study.

#### **Anonymity and confidentiality**

Undertakings were made with the management representative of the sampled companies and non-disclosure agreements were signed with the company of each management to ensure no identifiable company information was reported in the proposed study. Participants were also informed that their names were not linked with the research materials, and were not identified or identifiable in the report that results from the research. Participants were coded SC1, SC2, SC3, NSC1, NSC2 and NSC3 when discussing the results to ensure anonymity.

Information obtained for the proposed study was securely kept from unauthorised access. Interview audio recordings were stored in a computer file secured by a private password in the personal laptop of the researcher. Transcribed interview word documents were securely kept in a safe for four years before properly disposing them by shredding. Pseudo names were used in the Microsoft word interview transcriptions to hide the true identity of the participants.

### ***Honest reporting***

The researcher ensured that there were proper references to acknowledge or information obtained from different sources throughout the present study. The researcher was also careful not to manipulate the findings even if they were different from expectations. The conclusions and recommendations of the study were supported by the original results.

### **Sampling**

Purposive or a judgement sampling technique was selected given time and cost constraints. Therefore, a non-probability purposive sampling technique was used to select a sample of nine South African companies whose EE data was readily available in the 2015-2016 employment equity report.

Human resources managers and directors of the sampled mining companies were the key participants perceived to be well-informed of EE policies and practices in their organisation i.e. were believed to have the required insight in equity transformation within the mine they are employed in.

The racial and gender demographics of the management teams of the nine selected mines, as obtained from the employment equity report 2015-2016 are summarised in Table 3.1 below.

**Table 3.1**

**The racial and gender demographics of the management teams of the nine selected mines**

Code of company	Province	Occupational level											
		Top management						Senior management					
		Black		Total	White		Total	Black		Total	White		Total
		M	F		M	F		M	F		M	F	
%			%			%			%				
Mine A	Limpopo	22	22	44	56	0	56	34	58	92	5	3	8
Mine B	Limpopo	100	0	100	0	0	0	42	35	77	33	0	33
Mine C	Limpopo	39	39	78	23	0	23	61	6	77	17	6	23
Mine D	Limpopo	0	0	0	0	0	0	38	4	42	58	0	58
Mine E	Mpumalanga	0	0	0	0	0	0	80	0	80	20	0	20
Mine F	Gauteng	0	0	0	0	0	0	0	0	0	0	0	0
Mine G	Gauteng	0	0	0	100	0	100	26	0	26	74	0	74
Mine H	Limpopo	43	16	59	43	0	43	38	9	47	40	13	53
Mine I	Limpopo	0	0	0	0	0	0	20	0	20	80	0	80

M- Male; F-Female

**Note:** Top management - includes all executive officers appointed by boards, while senior management - includes the middle management such as functional heads appointed by executives

(Source: Employment equity report 2015-2016)

The gender and racial percentages of management representation were classified into intervals with assumed weighting to facilitate the ranking of the companies into success and non-success cases as depicted in Table 3.2 below.

**Table 3.2**

**Class intervals and weighting**

Class interval %	0 – 10	10 – 20	20 – 30	30 – 40	40 – 50	50 - 60	60 – 70	70 – 80	80 – 90	90 – 100
Weighting	1	2	3	4	5	6	7	8	9	10

**Table 3.3**

**Weighted gender and racial representation**

Code of company	Occupational level											
	Top management						Senior management					
	Black		Total %	White		Total %	Black		Total %	White		Total %
	M %	F %		M %	F %		M %	F %		M %	F %	
Mine A	22	22	44	56	0	56	34	58	92	5	3	8
Weighting	3	3	6	6	0	6	4	6	10	1	1	2
Mine B	100	0	100	0	0	0	42	35	77	33	0	33
Weighting	10	0	10	0	0	0	5	4	9	4	0	4
Mine C	39	39	78	23	0	23	61	6	77	17	6	23
Weighting	4	4	8	3	0	3	7	1	8	2	1	3
Mine D	0	0	0	0	0	0	38	4	42	58	0	58
	0	0	0	0	0	0	4	1	5	6	0	6
Mine E	0	0	0	0	0	0	80	0	80	20	0	20
	0	0	0	0	0	0	8	0	8	2	0	2
Mine F	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0
Mine G	0	0	0	100	0	100	26	0	26	74	0	74
	0	0	0	10	0	10	3	0	3	8	0	8
Mine H	43	16	59	43	0	43	38	9	47	40	13	53
	5	2	7	5	0	5	4	1	5	4	2	6
Mine I	0	0	0	0	0	0	20	0	20	80	0	80
	0	0	0	0	0	0	2	0	2	8	0	8

***Realised sample of mines***

The realised sample was selected after the management occupational levels for the mines were ranked according to the weighted mean of management equity representation race and gender for each mining company. The realised sample comprised of six mining companies distributed as follows: top three companies with EE or success cases were coded SC1 to SC3 and the three non-success cases coded NSC1 to NSC3 as presented in Table 3.4 below.

**Table 3.4**

**The identified success and non-success cases**

Name of company	Black top management		Black senior management		Weighting mean		White top management		White senior management		Weighting mean		Rank
	M	F	M	F	M	F	M	F	M	F	M	F	
Mine A	3	3	4	6	3.5	4.5	6	0	1	1	3.5	0.5	SC3
Mine B	10	0	5	4	7.5	2	0	0	4	0	0	2	SC1
Mine C	4	4	7	1	5.5	2.5	3	0	2	1	2.5	0.5	SC2
Mine H	5	2	4	1	4.5	1.5	5	0	4	2	4.5	1	
Mine E	0	0	8	0	4	0	0	0	2	0	1	0	
Mine F	0	8	0	0	4	0	0	0	0	0	0	0	
Mine D	0	0	4	1	2	0.5	0	0	6	0	3	0	NSC3
Mine I	0	0	2	0	1	0	0	0	8	0	4	0	NSC2
Mine G	0	0	3	0	1.5	0	10	0	8	0	9	0	NSC1

(Source: Employment equity report 2015-2016)

Meetings with human resources managers/directors from the three success cases and three non-success cases were scheduled.

***Respondents***

The six respondents, one from each mine in the sample, comprised of two male HR practitioners and four female HR practitioners. The study sample reflected a female gender dominance which can be viewed as positive transformation. The participants' range of years of experience (i.e. 7 years to 15 years) was used as a basis on which to believe that they were knowledgeable of the implementation of employment equity policies and practices of the mines they worked for. The gender and number of years of experience of each of the respondents is summarised in Table 3.5 below.

**Table 3.5**

**Demographic profile of respondents**

<b>Participant's Code</b>	<b>Gender</b>	<b>Years of experience</b>	<b>Designation</b>
SC1	Female	8 years	Skill Development Manager
SC2	Male	13 years	Human Resources Manager
SC3	Female	19 years	Group Human Resources Business Partner
NSC1	Male	7 years	Human Resources Business Partner
NSC2	Female	10 years	Senior Talent and Development
NSC3	Female	15 years	Senior Human Resources Business Partner

**Qualitative data collection procedure**

Each of the six respondents was contacted by telephone or e-mail to schedule an appointment to discuss their willingness to participate in the present study.

The respondents confirmed their participation in the study by signing consent forms and were informed that they could opt out at any time during the interview. The interview guide, consent form and the letter of introduction was sent to each participant ahead of time to allow them to prepare for the interview in advance and to hopefully minimise the interview time required.

The interview sessions were scheduled to be between forty-five and sixty minutes and were conducted at the convenience of the respondents. Some of the interviews were conducted after working hours to accommodate the flexibility of the participants.

The interviews were recorded with the consent of respondents. Notes were also made during and after the interviews in order to capture detailed data and inferences from e.g. the body languages of respondents.

**Data analysis**

The recorded interviews were transcribed before thematic analysis of the responses was conducted. Thematic analysis was used to analyse the qualitative data and was conducted by 1) organising data, 2) generating categories/themes, and 3) coding themes.

### **Organising data**

Each interview transcription was edited, read and re-read in order to develop ideas regarding the responses of the respondents. Memos were made based on observations and trends in the data. The documented meaning assisted in finding ways to best present and provide direct quotes from the interviews.

### **Generating categories/themes**

The transcribed data was captured in Microsoft Excel spread sheets according to meaningful patterns of words extracted from the responses for each question for each interview. Main categories/themes were generated from related patterns and sub-themes were drawn from different aspects identified from the overarching themes. Themes were extracted after a thorough line-by-line interpretation of each transcript. Deductive categorisation was adopted from the literature study of the EE theory and applied to derive the main themes.

### **Coding themes**

The data was coded systematically according to patterns or themes that were identified deductively from the literature. Coding was done by assigning labels to the text categorised. Direct quotes were used as evidence informing themed information in the analysis write-up.

Atlas.ti (Version 6.2) software was used for coding and theme identification according to views and experiences of related patterns. Interpretive narratives were constructed from the data to derive the leadership role themes; EE practices themes and obstacles of EE themes. Participants' profile data were analysed using descriptive statistics due to the quantitative nature of the data. Frequency tables and bar graphs for age groups, years of experience and education and professional background were produced.

### **Conclusion**

This chapter provided a research plan followed to execute the present research study. The strategy included a detailed discussion of the research approach, the research design, the research methods, the sampling strategy, the data collection

procedures, the data analysis as well as the ethical considerations. The next chapter provides a systemic presentation of the results of the present study.

## CHAPTER 4

### RESULTS

The aim of the present research study was to investigate mines that have been successful in bringing about equity transformation within their middle- and executive management teams (i.e. success cases) to identify possible reasons that explain their success, while also investigating mines that have not been able to bring about meaningful transformation (i.e. non-success cases) to so understand the barriers they experience.

Success cases were used to glean insights into human resources strategies, policies and practices that were believed to contribute towards successfully bringing about equity transformation, while on the other hand non-success cases were used to better understand barriers and/or obstacles to EE transformation.

The success case (SCs) and non-success case (NSCs) mines were selected and semi-structured interviews were conducted with a HR managers/Director from each group, as described above.

The success case interview questions were:

- 1) What employment policies and practices were used to implement EE Plans?
- 2) What results were achieved from the strategies and policies implemented?
- 3) What was the importance of the accomplished EE results?
- 4) What special incentives and rewards helped the EE implementation process?
- 5) What suggestions would further improve EE targets in SC?

The non-success case interview questions included:

- 1) What were the barriers to EE implementation in NSC?
- 2) What are the suggestions to address EE in NSC?

The qualitative data obtained by means of the questions described above, were coded into themes that were informed by the Model for Managing Employment Equity (Selby & Sutherland, 2006) discussed in Chapter 2. The direct quotations presented in this chapter were drawn from transcribed Microsoft Word interview documents using computer software: Atlas 6.2. Clear patterns derived from responses were logically clustered and counted. The code at the end of a quotation, for example (1:3; 5) should be interpreted as 1 = is the position of the participant; 3 = the theme number in the interview; and 5 = the paragraph of the quotation (Atlas, 6.2).

### **1) What employment policies and practices were used to implement EE Plans?**

The first question of what is really happening? focused on identifying perceptions of leadership in success cases on the one hand, and legal compliance with labour legislation on the other. The responses to this question provided an assessment of the top management's commitment to the implementation of labour laws such as the Employment Equity Act (No. 55 of 1998) that promote transformation.

The results revealed the following themes in terms of the role leadership plays in EE implementation according to the views of the success case participants. In terms of leadership roles the following aspects of leadership emerged: strategic leadership, change management process, compliance with labour laws, diversity management, and monitoring and evaluation.

#### ***Strategic Leadership***

All three respondents from the success cases (SC1, SC2 & SC3) corroborated that strategic leadership was fundamental in the establishment of employment equity transformation policies and practices that filtered through the entire organisational structure. Equity transformation performance outcomes were further included in individual managers' key performance indicator (KPIs) which means that they were monitored and evaluated.

SC1 highlighted the importance of senior management initiatives to encourage EE at management level:

*“There was a lot of buy in by senior management teams. They ensure that we set and monitored EE targets for line managers through Key Performance Indicators (KPI). Targets were set and communicated to all levels.” (1:1; 5)*

SC2 further expressed a willingness of executive management to spearhead EE at strategic levels:

*“Top leadership is interested and willing to support equity transformation since they see benefits of implementing EE reforms” (2:3; 8)*

SC3 suggested the adaption of a total approach, which included both internal and external stakeholders.

*“...leadership communicated with the stakeholders like unions and our managers as part of the process of transformation. They integrated the employees.” (3:3; 9)*

### **Change Management Process**

Two HR practitioners asserted the role of change management processes to guide the organisation in effectively implementing the EE change. SC2 hinted on the importance of applying appropriate procedures to introduce strategic change:

*“Change management is applied to bring about strategic change. Leadership development programmes and responsibility programmes are run to prepare management for the implementation of change” (2:10; 14)*

SC1 focused on the awareness phase of the change management process:

*“We looked at selling it to the employees as well as line managers and the company is proud of it as part of business growth and key initiative.” (1:3; 7)*

SC2 reiterated the importance of communicated by mentioning the application of what he called the awareness model:

*“We use the awareness model and our management are very supportive.” (2:2; 8)*

### ***Compliance with Labour Legislation***

The results on legal compliance captured from the interviews of all three high success cases showed that senior management played a significant role to promote equity transformation. The view of SC1 confirmed the commitment of her company to ensure successful transformation at management levels:

*“We have complied with relevant labour and transformation laws, by implementing EEA, and BBBEE. We comply and we realize the mutual benefits.” (1:3; 14)*

SC2 agreed that labour laws were followed to bring notable equity change in his company which he claimed brought about numerous benefits to internal stakeholders. He said:

*“We try to follow all relevant legal requirements and it has benefited everyone in the organization. We look at skills development models and we follow the Labour Relations Act and all others.” (2:1; 6)*

SC3 responded that compliance was in terms of the Mining Charter and was regularly monitored:

*“...it is measured every month to check on compliance against our Mining Charter; the monthly measurements enable us to see our direction.” (3:1; 7)*

There was evidence supporting that compliance was one of the strategic decisions that made a positive contribution towards in equity transformation in high success cases.

### ***Diversity Management***

Two participants of high success cases explained how their companies embraced inclusivity through diversity. SC1 stated that her employer introduced diversity training at all levels in order to increase the acceptance of EE transformation:

*“We did diversity management training for managers and employees. The intention was to sensitise everyone and ensuring that the entire workforce is sensitive to cultural issues.” (1:4; 7)*

SC3 suggested that EE would promote diversity as way of correcting social injustice. She commented that:

*“We highly value and consider diversity as strength and considered doing the right thing by employing the marginalized and going beyond.” (3:2; 5)*

### ***Monitoring and evaluation***

Two SC participants explained how effective evaluation made managers accountable for their EE transformation targets. SC1 mentioned the used of the EE Committee to hold managers to report their achievements:

*“We made it difficult for people not to align and achieve their targets by asking them to present to the EE Committee why they failed.” (1:11; 17)*

SC2 indicated that EE milestones were measured for five year plans:

*“We have gone to the change management model and measured how the organisation is growing when five year plans are evaluated. We develop and implement clear 5 year EE targets.” (2:11; 16)*

## **2) Employment Policies and Practices used to Implement EE Plans**

The implementation of appropriate human resources strategies, policies and practices highlighted the key success factors for EE transformation in high success cases:

*“We have clear policies on succession plan, recruitment processes, set EE targets, training and promotion of EE recruits for posterity.” (3:4; 11)*

The employment policies and practices themed from the results include: recruitment and selection, training and development, job rotation, mentoring and coaching, succession planning and talent management.

### ***Recruitment and Selection***

Two participants described how they used the recruitment and selection processes to achieve meaningful EE transformation at management levels. SC1 stated that deliberate decisions were made to achieve effective racial and gender balance at management levels:

*“We look at the demographics; the gender splits available to fill in vacant positions. We then start our recruitment processes along those lines and we are quite rigorous. We target the people we real need and balance race and gender.” (1:5; 10)*

SC2 stated they pursue specific EE targets and the use of external recruitment sources such as headhunting:

*“We have clear targets and we recruit purposefully e.g. African men or whatever race is supposed to come on board. Headhunting is used for recruiting critical skills.” (2:9; 14)*

### ***Training and Development***

All three SC respondents suggested that training and development programmes made a significant contribution to improve the representation at management levels. These programmes provided candidates for appointment to leadership positions to achieve fair representation. SC1 shared that:

*“There are lots of trainings, consultative forums such as talk shows/shows-online platforms information sharing and related platforms to achieve fair representation within management levels.” (1:4; 8)*

SC2 made specific mention of their deliberate focus on development of women to increase the pool such skills:

*“We focused on leadership development of women. We up-skilled them with fundamentals through programmes such as the GIBS programmes. Potential leaders access these leadership development programmes.”*  
(2:12; 18)

SC3 suggested that they provide targeted training:

*“We train the targeted beneficiaries and motivate them to give their best.”*  
(3:5; 11)

### ***Job Rotation***

One SC participant suggested the use of both vertical and horizontal job rotation to increase the inclusion of previously disadvantaged groups at management levels. She commented that:

*“We upscale the previously disadvantaged groups by promoting both vertical and horizontal job rotation of managers.”* (1:7; 13)

The process developed essential skills for such disadvantaged managers thereby making them eligible for promotion.

### ***Mentoring and Coaching***

Participant HSC2 noted that mentorships and coaching sessions were used to facilitate effective EE transformation at management levels. Mentorship and coaching programmes were conducted to prepare potential managers for appointment to management positions:

*“We look at the critical skills and provided mentoring to up-skill some potential managers and prepare them for the right positions. We also*

*recruit graduates as well as providing coaching to achieve successful transformation.” (2:6; 10)*

### **Succession Planning**

Two SC participants identified succession planning as a key factor implemented to achieve substantial EE transformation in their companies. SC1 noted that succession planning process availed underrepresented candidates for promotion to higher positions:

*“We have leaders that can take over within the organization.” (1:8; 12)*

SC2 agreed that success planning was essential for building a management base for future appointments:

*“We work on succession planning and we work on our values. Internal customers need to buy into the organisation.” (2:17; 22)*

### **Talent Management**

Two SC participants mentioned that talent management positively impacted EE transformation at management levels in their companies. Human resources capacity building made candidates available for promotion to high positions. SC2 outlined that:

*“We actually have a plan to ensure that people who are actually exiting in the organization are replaced by the ones we capacitate. We make sure that we have the correct people in positions.” (2:7; 12)*

SC3 emphasised graduate programmes were adapted as a key source of potential managers underrepresented managers:

*“We identify the specific areas of opportunities and use our graduate programmes to fill in positions whenever need arises.” (3:6; 13)*

### **Expatriate Assignments**

Participant SC3 revealed that their company was able to send prospective managers to sister companies to develop them for appointment to upper levels. Some of the beneficiaries of expatriate assignments had international exposure:

*“We have our sister companies that we send some for secondment in countries such as Australia.” (3:13; 29)*

### **3) What Results were achieved from Strategies and Policies Implemented?**

All SC participants noted that effective application of EE strategies led their companies to achieve positive results such as improved performance of their companies and monetary gains from tenders awarded due to B-BBEE compliance with the pillar of EE.

#### ***Improved Skills***

Participant SC1 pointed that job rotation increased the skills of the impacted human resources and ultimately improved their job performance:

*“The value of job rotation is that you get a better skilled workforce that contributes towards improved job performance and satisfactory results.” (1:7; 13)*

Multi-skilled managers had better opportunities to serve effectively in current and new positions that they may be appointed to. SC2 noted the successful EE implementation helped to ensure improved employee involvement as well as job satisfaction:

*“We are working well and there is more involvement of employees which brings about value additions when employees become happier.” (2:15; 20)*

### ***BEE Rating Sustainability***

Participant SC1 highlighted how successful EE transformation contributed to how their company received business from the government. This showed that company benefited from preferential government tenders:

*“We see value in development and we are growing in terms of rand value. We drive the BEE programmes and get more tenders.” (1:13; 18)*

Participant SC2 suggested that their company experience growth in business:

*“Business is growing and management is very supportive. People feel as part of the organization and our retention strategies, more people want to remain with us.” (2:14; 20)*

### ***Low Progress for African Women***

Despite registering success in improving EE at management levels, SC3 noted that the representation of African women at the upper levels was insignificant:

*“We have not done much in elevating African women in the upper levels. We use performance management to uplift women, but we have not done much.” (3:7; 17)*

## **4) What was the Importance of the Accomplished Results?**

The results accomplished through EE transformation were attributed to the empowerment of the previously disadvantaged groups. Participant SC3 suggested that EE transformation was a response to the national agenda of empowering the marginalised groups who were mainly women, people with disabilities and Africans in general. She pointed that:

*“People appreciate that you get incentives if you are doing well in equity transformation. Such transformation is critical in rebuilding South Africa and we are doing a good job.” (3:9; 19)*

## **5) What Special Incentives and Rewards Helped the Implementation Process?**

To achieve significant progress, all three SC participants revealed that reward based EE outcomes was a critical success factor. The results indicated that the incentives suggested were mainly monetary in nature.

### ***Outcome Linked Remuneration***

The participants indicated that the remuneration of managers assigned to foster EE at management levels was aligned to specific EE targets that were reviewed before rewarding achievers: SC1 pointed that:

*“Every target is linked to remuneration and score cards helped a lot, where 50% is for what you do and 50% for how you do it.” (1:6; 11)*

SC2 shared that key performance indicators (KPIs) were set and rewarded according to EE achievements:

*“We also use KPIs that are linked to bonuses. If you miss targets, you do not get bonuses.” (2:16; 20)*

Lastly, SC3 agreed that:

*“It is part of your key performance targets to bring bonuses for compliance.” (3:10; 25)* The same participant added that; *“We have retention bonuses signed for three years. We hope in three years one would give his/her best and pay up for rent to buy houses he/she stays in.” (3:12; 29)*

## **6) What Suggestions would Further Improve EE targets in SC?**

The suggestions contributed by the participants include strategies such as job evaluation, early retirement and training programmes.

### ***Job evaluation***

Participant SC1 suggested the need for proper job grading for remuneration purposes such that jobs for managers should be properly ranked:

*“We require job grading and good decision making and responsibility allocation of duties to line managers. Reward systems of such hard working line managers who are allocated additional responsibilities to operate at a higher level should be clear.” (1:9; 17)*

### **Early Retirement**

Participant SC1 suggested that by promoting early retirement of the represented groups, the company can further improve EE success:

*“We should make sure to encourage some people at management levels to retire early and get associated retirement packages.” (1:10; 17)*

Early retirement by the overrepresented managers open vacancies for underrepresented individuals.

### **Talent Management**

Participant SC3 identified talent management as an important strategy to improve EE success. She pointed the significance of training, retention schemes and graduate programmes:

*“We must use the current training programmes and run with our high fliers. There should be clear strategies on how to retain them and there must focus on technical programmes through our graduate programmes.” (3:11; 27)*

### **Low Success Case Questions**

Themes for barriers of effective EE transformation and suggested ways of improving EE at management levels are highlighted below.

#### **1) What are the Barriers to EE Implementation in NSC?**

NSC participants highlighted obstacles that negatively impact EE transformation in their companies. The main themes highlighted include; lack of change management process, exclusive recruitment practices, lack of qualified human resources, nepotism and favouritism, ineffective EE committee, poor monitoring and evaluation,

lack of succession planning, lack of graduate programme, lack of job rotation, high risk and lack of facilities, poor retention scheme, lack of leadership development, lack of job evaluation and weak corporate culture.

### ***Lack of Change Management Process***

Participant NSC2 suggested that EE implementation was impeded by non-existence of change management process in their company. The lack of change management process leaves managers with no guidance on how to effect strategic change:

*“We also do not have an understanding with the line managers as to why we have to be in compliance. The gap that exists is that there is no change management process that was conducted by the organization to implement EE transformation strategies.” (2:1; 6)*

### ***Recruitment Practices***

All the three NSC participants pointed that recruitment practices did not integrate EE plans when hiring employees for management levels. This was attributed to slow EE transformation at management levels in their companies. NSC1 mentioned that EE was ignored in their recruitment:

*“We haven’t been taking EE into consideration in our recruitment processes as much as we should have because we have been looking for employees with certain levels of competencies.” (1.1; 6)*

NSC2 acknowledged the existence of an EE plan in their organisation citing that EE policies were flouted:

*“Will start with recruitment procedures and EE plan is in place but when it comes to actual recruitment, there is no compliance-so most senior appointments levels flout the EE policies.” (2:2; 8)*

Lastly, NSC3 cited that despite the availability of a recruitment policy, the process is ignored during recruitment:

*“There is a recruitment policy in place and it all starts with how the policy works, but you also find out that the mining community is a closed community. You have a process but sometimes recruitment happens outside the policy.” (3:3; 9)*

### **Lack of Qualified EE Candidates**

Two NSC participants shared that there are instances when their companies experienced shortage of EE candidates with relevant expertise and experience to occupy vacant positions making it difficult to implement EE plans. NSC1 stated that lack of qualified internal candidates caused the company to opt for external candidates who may not assist in improving EE:

*“Finding the right candidates, for managerial levels is not always easy and if you look at internal promotions, we have people who have been with us for many years and this gives them an advantage over those that are external.” (1:2; 6)*

NSC3 pointed that the absence of the disadvantaged groups meant that their company had to employ white males who were readily available:

*“Yes, there are opportunities but in the absence of potential black or female candidates, it turns out to be the usual the white male employees available.” (3:8; 16)*

### **Nepotism and Favouritism**

All three NSC3 participants made it clear that nepotism and favouritism also contributed to slow EE transformation at management levels.

LSC1 confirmed the view that the implementations of EE plans were compromised by nepotism and favouritism:

*“...and at times promotion of family members and connections have often gone against employment equity plans.” (1:3; 6)*

NSC2 pointed that relative and friends are employed withstanding EE plans:

*“The line managers also bring in people who are either relatives or friends. The practice is more excessive when it comes to non-EE candidates. Candidates are just brought in or head hunted without EE in mind.” (2:3; 8)*

NSC3 agreed that appointment were made to serve the interest of friends and relatives:

*“When appointments are made, some roles are set aside for friends and relatives. We also have cases of people who come in as fixed contracts and management prefer them to get those positions.” (3:5; 9)*

#### ***Ineffective EE Committee***

Participant NSC1 admitted that despite the availability of EE plan, failure to implement the EE plan impeded the attainment of EE targets:

*“Well, we do have an EE plan in place but it’s not always considered during recruitment processes. This has been the biggest hindrance to achieve the targets at all levels.” (1:6; 8)*

NSC2 revealed that EE committees led to slow progress in EE transformation:

*“The EE Committees do not have any impact at all. They do not have an understanding of their roles in the structures.” (2:1; 6)*

#### ***Poor Monitoring and Evaluation***

Two NSC participants noted that lack of monitoring and evaluation hindered EE progress and management levels. This implies that companies had plans and policies in place, yet implementation was not measured. NSC1 highlighted both lack of implementation and evaluation of execution EE plans:

*“As a whole, we do have an EE plan but it’s not recognized and shared.*

*It's not continuously put in place and measured during the period which becomes a problem because we are not checking our targets and saying in this instance we haven't appointed someone according to plan." (1:10; 14)*

NSC3 identified lack of evaluation of the recruitment process as one of the reasons causing low EE progress:

*"In terms of recruitment, we don't have competence based questionnaires for all. So, our analysts have to perform internal audits to make sure that all roles are profiled, particularly for bargaining positions." (3:14; 21)*

### ***Lack of Succession Planning***

Two participants indicated that the absence of succession planning negatively impacted the EE success in their companies. Succession planning did assist in developing the EE potential managers to take over leadership positions when the current non-EE managers reach retirement. NSC1 pointed that:

*"Some other things involve the lack of informed formal succession planning; there is a little bit of hesitation when we identify someone with succession attributes. They lack formalized succession planning and development in our leadership planning." (1:11; 14)*

NSC2 indicated the succession planning in their company had a bias towards non-candidates:

*"We do not have a structured succession planning in place that leads to inbreeding of skills. However, non-EE candidates get opportunities than the EE candidates." (2:6; 20)*

### ***Lack of Job Rotation***

Participant NCS1 mentioned that there was no structured job rotation to promote the up-skilling of candidates to position them for promotion opportunities:

*“We also do not have formalized methods of job rotation and it’s more looking at the exposure of our employees.” (1:14; 14)*

### **Poor Facilities**

Two NSC participants reported that EE transformation for people with disability was due to high risk work environment in mines. The facilities at the head offices were not friendly and not accommodating to people with disabilities. NSC1 commented that:

*“I think the other thing is that in terms of people living with disability, we don’t accommodate them. The biggest problem is the accessibility of our work facilities. Obviously, the biggest part of our business is in mines which are a challenge to disabled persons. Even at our head offices, there aren’t many facilities for them. That was a challenge during recruitment procedures because we do not accommodate people with certain disabilities.” (1:15; 16)*

NSC3 agreed that the mining industry does not accommodate managers with disabilities:

*“We have been challenged in that regard. Also the nature of the industry doesn’t accommodate managers who live with disability.” (3:2; 7)*

### **Inadequate Retention Strategies**

All the three NSC participants noted that lack of adequate retention schemes affected the number of managers available to for promotion or appointment to ensure that EE targets were achieved. NSC1 explained that the turnover of competent talent was high:

*“We compete with various mines around and we get good talent only to lose it very quickly. We start all over again, to go through another process of trying to outsource of again.” (1:16; 16)*

NSC2 shared that their company offered salaries that were unattractive resulting loss of good talent:

*“...some of the challenges are we loss employees at professional levels. We are paying low salaries, so we can’t attract competitive people.” (2:5; 10)*

NSC3 concurred that their retention schemes did not match their competitors:

*“...we cannot retain them for long when they compare with what others in other companies get. When people have been a company for long and keep getting the 5% increment per year, and have people coming from outside with premiums, we do have those disparities.” (3:6; 11)*

### ***Lack of Leadership Development***

All three NSC participants identified lack of leadership development as another factors obstructing the success of EE implementation. The absence of leadership development programmes for underrepresented groups affected the pool available for appointment or promotion. NSC1 mentioned that:

*“We lack leadership development opportunities for internal people.” (1:17; 16)*

NSC2 indicated that lack of graduate and leadership development programmes did not help the current imbalances:

*“There is no focused leadership development, especially to target underrepresented groups in terms of EE plans. Graduate programmes are not used as channels to upgrade the once marginalized groups so as to address the current imbalances.” (2:7; 10)*

NSC3 shared that training and development programmes were not fairly rolled-out for the benefit all employees:

*“Then we have training and development on paper which is available, but not accessible to everybody. A minority of white males gets the opportunities, few disadvantaged people are lucky to get individual training.” (3:7; 11)*

### **Lack of Job Evaluation**

Two NSC participants noted that the absence of a structured job evaluation affected the job ranking and the associated salary scales. Some internal appointments were not matched by the relevant salary adjustments:

*“There is no existing job grading in the organization. Some internal appointments do not have salary adjustments and there are salary disparities. No job classification and grading. There is no proper structure for job grading and remuneration so, no criteria to determine salary scales.” (2:4; 8)*

In addition, NSC3 agreed that lack of job grading impacted the retention of EE candidates:

*“We don’t have a grading system causing line managers to decide on their own-a subjective system. No retention of designated groups is a challenge due to lack of grading systems.” (3:8; 10)*

### **Unsupportive Organisational Culture**

Participant NSC2 explained that a negative organisational culture had a serious bearing on EE success. Male dominance led to low representation of women of all races:

*“The other thing is a negative corporate culture with other employees. There is too much sexism; I can’t justify it in a male dominated environment. Females across racial groups feel left out.” (2:9; 10)*

## **2) What are the Suggestions to Address EE in NSC?**

NSC participants suggested ways to address the barriers of EE transformation in their companies. The main themes derived from the suggestions to address EE challenges include the following: change management process, EE implementation committee, inclusive recruitment practices, monitoring and evaluation, graduate development programmes, mentorship and coaching programmes, equitable remuneration, job evaluation, leadership development, strong corporate culture, diversity management training and talent management.

### ***Change Management Process***

Participant NSC2 recommended the deliberate introduction of a change management process to facilitate effective EE implementation in the entire organisation. She made the following statement:

*“Secondly, change management process; a new thing to the line managers should be implemented and rolled out throughout the organisation... so that EE implementation does not become a culture shock.” (2:11; 14)*

### **EE Implementation Committee**

All three NSC participants suggested the need to introduce an EE implementation committee to foster effective EE transformation in mining companies. Despite having an EE planning committee in an organisation, implementation of the EE plan requires serious attention. NSC1 emphasised that:

*“One important issue is to have a proper EE implementing committee in place that constitutes the right people in the organization. Unfortunately, we don’t really have that but just we have an EE Planning Committee.” (1:18; 18)*

NSC2 added that EE committees require appropriate training:

*“...but one of the important issues is to train the EE Committees to help us in implementation.” (2:16; 16)*

Lastly, NSC3 focused on the composition of the EE committees that have balanced representation:

*“We must also make sure that EE Committees are in place to accommodate all groups and that they should be representative enough and be linked to performance management models.” (3:18; 25)*

### **Recruitment Practices**

The three NSC participants reported that an inclusive recruitment policy should be developed with ways to integrate the EE plan. They suggested that recruitment practices that accommodate EE targets can help to fill the underrepresentation gap. NSC1 emphasised a well monitored recruitment policy integrated with the EE plan:

*“...the recruitment policy should accommodate ways of integrating the EE plan into the recruitment process, monitoring it properly and putting in place mechanisms that ensure that we can continuously check the targets.” (1:20; 22)*

NSC2 agreed with the view of NSC1 and commented that:

*“Recruitment procedures must be clear and need to be guided by the employment equity and where there are under representations, necessary steps must be taken to fill in the gaps.” (2:10; 14)*

LSC3 focused on the need to establish representative recruitment and selection panels:

*“Selection and recruitment panels must be representative enough and documentation of all interview reports and a compliance analyst must be put in place to check and audit and file all the interview processes to show how serious we are.” (3:19; 25)*

### **Monitoring and Evaluation**

The three NSC human resources practitioners noted that meaningful EE transformation would be made when monitoring systems are put in place. The systems would provide progress on the implementation of EE plans. NSC1 recommended that effective monitoring mechanisms should be set:

*“...monitoring it properly and putting in places mechanisms that ensure that we can continuously check the targets; not mere signed off documents so that we can see progress and ask ourselves the impacts of employing that person we had not planned to employ. It provides the changes that should be made in different positions to meet that target.”*  
(1:2; 22)

NSC2 agreed that monitoring should be performed regularly:

*“We need regular monitoring such as meeting quarterly to monitor.”* (2:17; 16)

NSC3 advocated for comprehensive summative reporting and the inclusion of internal auditors in recruitment and selection:

*“Quarterly meeting and formative reports; something absent in the past and management should listen to us. Internal audit should be in place to assist with recruitment and selection. There is need for individual score cards to improve on performance and some barriers should no longer apply across the board.”* (3:17; 23)

### **Mentorship and Coaching**

One NSC participant suggested the need design and implement mentorship and coaching programmes to provide for a clear succession plan that accommodates EE candidates:

*“We will then consider our specialists and upwards to management levels, how can we develop them in mentoring, coaching, rotational*

*opportunities to have a clear succession plan. So should someone leave, we can easily fill the positions.” (1:24; 24)*

### **Job Evaluation**

All three NSC participants advocated for effective job grading to ensure informed ranking of jobs for remuneration benchmarking and career-pathing that promote employee retention. NSC1 hinted on establishing an effective job grading system:

*“On job classification, we are researching on a formal grading system and benchmarking.” (2:12; 14)*

NSC2 revealed that the introduction of job grading improves competitive advantage:

*“Luck enough and in terms of job grading, the executives have finally agreed to adhere to job grading for proper career-pathing and to make sure that we attract and retain the best candidates to avoid losing out to competitive companies. So job grading has helped to peg our salary scales at par with others in the market.” (3:9; 20)*

NSC3 made suggestion about job grading that would yield similar benefits for the company and improve EE success:

*“Management has agreed to avail job grading to inform our career-pathing to retain competent people. The introduction of the grading and career-pathing mechanisms is welcome for salary and remuneration benchmarking.” (3:15; 23)*

### **Leadership Development**

All three LSC human resources participants emphasised the importance of employee development address the low EE targets. NSC1 suggested that well developed employees would be available for promotion:

*“...to develop them and provide promotional opportunities, we need to build up a culture of employee development.” (1:25; 26)*

NSC2 explained the need to use leadership development to increase the number of EE candidates with opportunities for succession:

*“We should provide a leadership development programme for our EE candidates to empower them and provide opportunities leading to good succession planning.” (2:13; 14)*

NSC3 agreed that leadership development would be used to address underrepresentation at management levels:

*“We intend to have professionals from within that would participate in leadership programmes, and graduate programmes to make sure that we are equally represented.” (3:12; 20)*

### **Supportive Organisational Culture**

Two LSC participants suggested that a good organisational culture would serve to improve the EE transformation agenda in mining companies.

NSC1 indicated the need to promote consistent leadership development:

*“...we need to build up a culture of employee development.” (1:25; 26)*

NCS2 highlighted the importance of cultural diversity to prevent discrimination:

*“On corporate culture, we have road shows to cascade messages that we value cultural diversity in our organizations to do away with discrimination.” (2:14; 14)*

### **Diversity Management Training**

Participant NSC2 proposed diversity management training to promote the appreciation of a multicultural workforce. This would promote effective implementation of EE plans leading to high EE success:

*“We should have training interventions to cater for diversity issues; a multidimensional culture.” (1:15; 14)*

### **Talent Management**

Two NSC participants hinted on the need to allocate a budget for training and development and achieve a gender and racial balance of potential participating managers. NSC2 explained planned training and development:

*“And for training and development, we should have the budget that is a plan to identify the proper candidates to go on training to reduce sending the overrepresented white minority males. Everybody should be accommodated equal opportunity when planning.” (3:11; 20)*

NSC3 suggested individual development programmes and succession:

*“Then we have individual development plans that address business and individual requirements. We merge the two to inform workshop and succession planning instead of it being reserved for a few.” (3:13; 20)*

The introduction of a fair and equitable remuneration system was suggested to improve talent retention. NSC2 commented that:

*“The other thing is looking at a process of equal pay for equal work in line with the market to retain our talents.” (1:26; 26)*

### **Conclusion**

This chapter presented the results from the qualitative analyses. Comparative thematic analysis of the responses of participants was performed and patterns were derived from quotations extracted using Atlas 6.2; a qualitative computer software.

The results provide answers to questions of EE high success cases and low success cases in mining companies. The following chapter focuses on a discussion of the results in order to derive contextualised meaning of the results and answer the research problem.

## CHAPTER 5

### DISCUSSION

The aim of the present research study was to investigate mines that have been successful in bringing about equity transformation within their middle- and executive management teams and to identify possible reasons that explain their success, while also investigating mines that have not been able to bring about meaningful transformation to so understand what the barriers were that they experience. This was done in an effort to learn from these (good and bad) experiences and so hopefully be in a position to propose ways to improve the EE transformation of management levels within the South African mining industry.

The results of the semi-structured interviews that were conducted with HR managers/Directors at the selected mines (n=6) related mostly to the role of leadership in managing EE targets; employment practices and policies that drive EE targets and the obstacles faced when implementing EE reforms.

#### **The Role of Leadership**

There was consensus amongst respondents from the success cases that leadership plays a pivotal role in bringing about transformation and changing EE the profile. The result corroborates that of Northouse (2014) whom argued that that senior leadership has the ability to influence others to achieve a common goal. The ownership of EE change by the leadership, made it possible to challenge the organisation and champion efforts to accommodate such change and promote the attainment of EE targets. The findings are also in accordance with Jain, Sloan and Horwitz's (2003) view that the involvement of leadership provides guidance on the acceptance and implementation of EE targets. The engagement of both internal stakeholders (e.g. executives and employees) and external stakeholders (e.g. unions and regulators) provided a higher probability that EE implementation would be successful. On the other hand, Bloom and Lues (2013) asserted that the slow implementation of the Employment Equity Act can be attributed to lack of strategic leadership in companies. This therefore supports the view leadership had crucial role to play for the achievement of high EE targets in the success cases.

The results of the present study support the notion that leadership is responsible for effecting change management. Yukl (2013) argued that executive management should encourage middle and lower management to bring about change in their units, while doing so in a manner that is consistent with the vision and strategy of the organisation. He also argued that it would be difficult for organisations to introduce change, without a clearly defined change management process. Hiatt's (2006) change management model begins with awareness for the need to change and instilling a desire for involvement to bring change. This is followed by ensuring that employees have the knowledge of how to change; ability to implement the change; and ensuring the change reinforced in such a manner to ensure that it is sustained (Connelly, 2008). Furthermore, it is suggested that executive management build a supporting coalition of employees who buy-into the strategy i.e. a critical mass of employees that adopt the change and support the process by which the strategic plan will be put into action. Connelly (2008) highlighted that change management model is ideal to accelerate the slow employment equity transformation in organisations because of its pragmatic approach.

The effective execution of the EEA and the B-BBEE policies and strategies undoubtedly call for senior leadership to adopt suitable ways of applying the relevant provision of the EEA and B-BBEE to promote improved EE targets in the workplace. Thomas (2003) argued that the value of laws to drive employment equity transformation cannot be down-played; holistic and supportive human resources practices are essential to achieve the transformation agenda in the workplace. It can be concluded that when leadership in organisations comply with the relevant labour law, EE targets can be achieved. Since these laws provide a background for inducing labour change legally, management is compelled to formulate human resources policies and strategies to drive such reforms. Booysen (2007) opined that companies that practice good corporate governance are to respond to the goals of the stakeholders, especially the government's quest for employment equity transformation.

The results of the present study further revealed that diversity management was another leadership role that contributed to the achievement of EE targets within the success cases. Wörnich *et al.* (2015) argued that the success of diversity

management process requires commitment from senior leadership to enable all employees in the organisation to explore their full potential. Accordingly, diversity management addresses resistance from middle and lower managers with regards to the implementation of EE transformation initiatives. Therefore, the results support the notion that the success of EE targets appeals to leadership and managerial capabilities of proactive business leaders who can manage people from different cultural backgrounds. As indicated by Dervern (2013), that companies are increasingly becoming more global in their quest to access new business opportunities for growth and expansion, they are therefore motivated to embrace a more inclusive diverse workforce.

### **Monitoring and Evaluating EE Implementation**

The results of the present study also indicated the importance of monitoring and evaluating change after implementing strategies to achieve the EE targets. The process of evaluation and control created accountability for managers with regards to the achievement of EE performance targets. The insights revealed how vital it is for management to measure the progress made in implementing the EE plans at regular intervals. Failure by assigned managers to attain the desired outcomes may signal a change or review of EE strategy. The delegation of the evaluation exercise to EE committee was also applied by success cases to make managers accountable for attainment of EE targets.

### **Employment Policies and Practices to Meet the EE Targets**

The results from the present study revealed that human resource policies and practices contributed to the success cases achieving EE targets and included recruitment and selection, training and development, job rotation, mentoring and coaching, succession planning and talent management policies and practices as key success factors.

In Theory O change, Selby and Sutherland (2006) advocated for affirmative action measures such as preferential recruitment and selection, accelerated development and promotions to increase EE representation within management teams. This implies that when new managers are attracted and selected, the focus should be on appointing EE candidates in an effort to redress both gender and racial imbalances

at the workplace. Booysen (2007) recommended that recruitment policies and strategies should be aligned and integrated with strategies that are targeted at promoting employee retention. HR managers should, further, make every effort to align recruitment, selection strategies and policies with EE laws such as the EEA and the BBBEE Act.

Skills training and development was suggested as a key factor in driving the accomplishment of EE targets amongst the success cases. The view is similar to the suggestion by Wörnich *et al.* (2015) that skills development provides a platform for developing managerial capabilities and skills of line-managers for promotion and management succession. SABPP (2017) reported that human resource utilisation strategy of training and developing skills and knowledge of EE candidates by an organisation promotes the protection of institutional memory when employees are retained. The pool of EE human resources available for promotion increases thereby resulting in a gradual improvement in EE reforms at management levels.

Mentoring and coaching was also used to prepare EE candidates for higher managerial positions in success cases. The implementation of such human resources strategies meant that existing managers provided guidance to prospective managers. Nzukuma and Bussin (2011) posited that if mentoring and coaching is adopted as a corporate culture, the availability of a pool for potential EE candidates for promotion and management succession is improved. Graduate trainee managers were also developed and prepared for appointment in upper levels. The implication is that is mentoring and coaching are integrated into the corporate culture of companies, EE candidates for promotion and management succession would readily be available in the organisations.

Another employment practice implemented by success cases was succession planning. Succession planning was an integral component of the internal source of potential managers who take their organisations forward. Wörnich *et al.* (2015) suggested that succession planning should be complemented by strategies such as training and development and retention schemes for it to be a success.

The HR managers/Directors from the success cases described effective talent management as another strategy that allowed them to accelerate their EE achievements. The management of talent in the success cases made extensive use of internal recruitment i.e. promotions to fill vacant positions. To develop the knowledge and skills of existing managers, suitable training and development was thoroughly planned and executed (Wärnich *et al.*, 2015). This was further augmented with the use of graduate trainee programmes to increase the available pool of EE human resources.

Lastly, the strategy of expatriate assignments was also used to promote the achievement of meaningful EE reforms. Existing employees were placed on secondment in affiliated organisations operating in foreign countries such as Australia. The international exposure helps such managers to develop leadership capacity in order to be eligible for international leadership appointments. Selby and Sutherland (2006) described expatriate assignment as medium term space creation strategy with potential to increase leadership skills, improve employee morale, and maintenance of organisational memory.

### **Results Achieved from Effective EE Implementation**

The mining companies that achieved higher than average EE targets reported improved skills of the managers and BEE ratings. Respondents specifically commented on the general improvement of the skills of the workforce resulting from retraining, training and development of EE candidates. The improvement of the skills of potential and existing managers meant that they were able to serve effectively and produce quality performance. The results achieved align to Selby and Sutherland's (2006) proposed retraining reward of skills development as well as improved employee morale.

When the mining companies complied with EE and B-BBEE and achieve their EE targets the companies received business from the government because of an improved BEE scorecard rating. The companies enjoyed preferential procurement to supply government departments with ordered goods or services. There was improved profitability performance added to the business tenders of the success companies. Improved BEE rating increases positive publicity for such companies.

Lastly, results also showed that the companies benefited from the retention of institutional memory.

### **Low Progress for African Women and People with Disabilities**

Although the success cases made notable progress and had relatively outperformed the other mines in the selected group of nine mines, at least one of the success cases reported that the representation of African women at the upper levels was still insignificant and far from desired levels. A similar sentiment was raised regarding the progress made for people with disabilities by the other HR managers/Directors from the success cases. The AA strategies have failed to make meaningful progress in improving the EE targets, as it relates to African woman and those with disabilities. The impression was that there may be a lack of institutional will to increase female representation and that of people with disabilities. The impression that there has been little progress for people with disabilities is shared by Jongens (2006) who argued that disabled people are usually ignored in the EE processes.

### **Importance of Accomplished Results**

The mines that achieved higher EE representation have seemingly applied effective AA strategies that allowed for the integration of employees from the designated groups into management levels. The EE transformation reforms were implemented through strategies that empowered marginalised groups including women, people with disabilities and blacks. The importance of the high EE achievements is that contributes towards nation building management empowerment. However, the main beneficiaries of the improved representation in management levels reported in the success cases were mainly male Africans.

### **Special Incentives and Rewards to Help EE Implementation**

To achieve significant progress, all three respondents from the success cases revealed that reward based EE outcomes was a critical success factor for them. The results indicated that the incentives suggested were mainly monetary in nature. They suggested incentives to that link EE implementation and remuneration.

Selby and Sutherland (2006) suggested that remuneration can be used as a fair exchange for work performed by employees to reinforce required behaviour. The remuneration of managers assigned to foster EE at management levels was aligned

to specific EE targets. The setting of Key Performance Indicators (KPIs) aligned to EE achievements, proved to be effective for the success cases. It is clear that the use of bonuses associated with EE targets was able contribute positively towards the desired outcomes.

### **Suggestions to Further Improve EE Targets**

The results from the success cases further suggested the consideration of job evaluation, early retirement and targeted training programmes to further improve the achievement of EE targets with the mining companies. Job grading was recommended to ensure that jobs are fairly ranked according to a predetermined job evaluation system. When jobs are fairly ranked, the appointment of new EE candidates was associated with fair and equitable remuneration in exchange for the new role. The implication of these results is that some line managers who were appointed to higher position, felt that they were not fairly rewarded.

Another strategy to further improve EE targets was to encourage early retirement of employees from the over-represented group, mostly male whites in this case. Selby and Sutherland (2006) highlighted that if the strategy of early retirement is incentivised with attractive packages, it may lead to accelerated achievement of EE targets according to Theory O change. Thus, the early retirement by the overrepresented group of managers opens opportunities for the underrepresented EE individuals.

Lastly, talent management was proposed as a way to further improve EE success in mining companies. The results revealed that training, retention schemes and graduate programmes were essential for building a large base for the designated group for appointment in upper levels. Wörnich, *et al.* (2015) suggested the implementation of retention strategies such as compensation and benefits, organisational environment, work/development environment and work-life balance, in order to ensure sustainable EE reforms. These approaches can serve as good retention strategies for existing EE candidates. The graduate programme was also highlighted another potential source of qualified candidates for promotion.

## **Barriers to Effective EE Transformation**

### ***Lack of change management process***

The results from the non-success cases provided insights into perceived barriers or obstacles that impeded the successful achievement of EE targets in the mining companies. On the contrary, the results from the success cases indicated that change management process was a critical success factor for improved EE targets. Lack of change management processes were noted as one of the obstacles that negatively impact EE transformation in their companies. The non-existence of change management process leaves management of organisations with little sense of direction on the phases that should be completed to achieve successful strategic change, such as EE reforms. Therefore, if change is not well-managed it seems that chances are good that organisational goals are not achieved, as it seems was the case with the non-success mines.

### ***Ineffective recruitment practices***

The application of recruitment practices that did not integrate EE policies was cited by the non-success cases as a barrier for meaningful EE transformation. Non-success cases admitted that recruitment processes in fact largely disregarded EE reforms. Most senior management appointments were made in violation of EE policies, even when such policies existed within the organisation. Sutherland (2006) proposed that a organisations faced with surplus of white males could consider retrenchment, demotions, transfers, job sharing, early retirement and retraining to address this. However, the results do not clarify why the managers responsible for recruitment ignored EE policies.

### ***Lack of qualified employees***

On the other hand, it emerged that there were instances that management was committed towards appointing EE candidates for vacant managerial positions, yet qualified EE candidates were unavailable. Sutherland (2006) pointed that the slow pace in employment equity reforms is influenced by inadequate of development of critical and scarce skills internally, meaning that there is also little opportunity to fill vacant positions internally through promotion. The challenge did not help the implementation of EE plans, and ultimately the EE targets. The companies

eventually resorted to employing white males who possessed the necessary qualifications thereby derailing the EE reforms. This compels management to focus on rigorous training and development of EE candidates in order to reverse the imbalance in the long term.

### ***Nepotism and favouritism***

The results supported a view that nepotism and favouritism posed a hindrance to improved achievement of EE targets at management levels. Evidently, this did not assist the attainment of the set EE targets and EE reforms in general. The non-EE candidates were blamed for the excessive of nepotism and favouritism and the expense of EE. The practice relate to the view of Durrheim et al. (2011) who argued that black people are likely to be supportive of AA policies out of self-interest as opposed to their white counterparts who may act in the contrary to reverse or delay the gains.

### ***Failure to implement EE plans***

In companies where EE committees existed, blame was placed on failure to implement the EE plan impeded the attainment of the set EE targets. This barrier pointed to the poor performance of EE committees in guiding implementation and evaluating the success of EE plans. This implies that if EE committees could have clear mandate and work effectively, EE targets would be achieved. It is therefore imperative that the existence of EE committees should not be a mere formality, but functional institutions with purpose.

### ***Lack of monitoring and evaluation***

Lack of monitoring and evaluation of the EE strategies and institutions was identified to be an obstacle to improved EE reforms at management levels. Both EE planning and implementation without evaluation and control of the plans is counterproductive. The results suggested that companies had plans and policies in place, yet implementation process was not measured. Lack of evaluation of the recruitment process was also a common problem that made it difficult to measure the extent of EE progress.

### ***Lack of proper succession planning***

The results indicated that the lack of proper succession planning by the leadership slowed progress of EE targets in the non-success cases. The lack of succession planning cause leadership to be reactive instead of proactive when addressing succession needs of the companies. In a reactive situation, management respond by appointing candidates that are available with consideration of EE reforms. Ultimately, biased decisions on leadership succession are fulfilled by non-EE candidates who are mostly dominant.

### ***Poor facilities***

The results on the state of representation for disabled people at management levels pointed to high level of risk in the mining sector. There seemed to be a lack of facilities that accommodate people with disabilities. This was clear admission of the state of readiness for management of mining companies justifying the slow EE transformation. Apart from the lack of facilities, the results revealed a perceived lack of commitment to recruit people with disabilities. The results further revealed that recruitment procedures do not integrate with EE plans in such a manner as to guide recruiting managers to deliberately consider disabled people. This confirms the view suggested by Jongens (2006) that disabled people are usually ignored in the EE processes.

### ***Poor retention schemes***

The results indicated that failure by companies to provide appropriate retention schemes directly affected that number of EE managers available for promotion or appointment when vacancies were to be filled. A good retention scheme reduces the employee turnover thereby providing a large pool of EE candidates. High rate of talent loss impact the company's capacity to appoint candidates that would assists to achieve the EE targets. Evidence pointed to lack of competitive remuneration in some cases resulting in employees leaving the companies because of low salaries. It became even difficult to attract competent talent of EE candidates from external sources to fill in vacant positions.

### ***Lack of leadership development***

Another barrier identified by the non-success cases was lack of leadership development to increase the internal supply of EE candidates for appointment when

opportunities exist. Lack of graduate and leadership development programmes did not help the current disparity in the workforce. Management should therefore deliberately develop leadership development plans for potential EE candidates and invest in their training and development.

### ***Lack of job rotation***

Lack of job grading was also a major impediment to successful EE reforms. The results reflected that there were no structured job evaluation systems that would inform job ranking and establishment of salary scales. When jobs are properly graded the occupational level are clearly structured and appointments to positions with the associated pay. Successful job evaluation exercises were used to allocate salary scales for the jobs. A fair and equitable remuneration system can serve as retention strategy for companies.

### ***Unsupportive organisational culture***

Lastly, lack of a supporting corporate culture impeded the high achievement of EE targets in low success mining companies. The results reported a culture of male dominance and negative perception of other employees. The findings were consistent with Agocs' (2002) view that unfair discrimination patterns exist in companies and are supported by inhibitive institutionalised practices, norms and values that foster exclusionary structures. The practice is hindrance for EE progress in mining companies where dominating groups lack moral convictions to embrace employment equity transformation and drive tangible progress in their companies. The results relate to the observation made by Thomas (2003) that white managers have a culture of entitlement for management dominance and are therefore less tolerate EE change.

## CHAPTER 5

### RECOMMENDATIONS AND CONCLUSIONS

The aim of the present study was to evaluate strategies, employment policies and practices in success cases and identify the barriers encountered in non-success cases in driving employment equity transformation at management level in selected mines within the South African mining sector.

The qualitative results analysis and discussions in the previous chapter provided insights into what they perceived to be critical success factors in their success in achieving relatively higher levels of EE transformation, while also gaining insights into barriers or obstacles faced by those mines that had relatively lower EE diversity with management levels.

The results of the present study, contextualised and discussed in the previous chapters provided data and insights into the research question. Therefore, the insights gleaned from what has worked and not worked, and what barriers needs to be overcome was the basis for recommendations that are made here in the hope that addressing them will further improve the attainment of EE targets.

#### **Recommendations**

To promote and support the attainment of EE targets and improve the representation of management teams, the following recommendations are made based on the results and findings of the present study:

##### ***Effective and Committed Leadership***

To achieve EE targets, corporate leadership need to champion the integration of EE reforms into organisational strategy so that the strategic change can permeate all policies and practices throughout the organisation. Implementing EE should further be part of the organisation's vision and should not be dealt with in isolation. The leadership should have the ability to envision, maintain flexibility and empower employees to embrace and bring-about EE change. Executive, middle and low management should buy into the EE strategy in order to ensure effective EE implementation processes that are able to achieve EE targets. As suggested by

Northouse (2014) that leadership is the ability to influence others or individuals to achieve a common goal. The involvement of leadership provided guidance to internal stakeholders to acceptance and implementation of EE targets. Bloom and Lues (2013) asserted that the slow implementation of the Employment Equity Act can be attributed to lack of strategic leadership in companies. Committed corporate leaders are likely to induce commitment among both internal and external stakeholders to implement EE strategies and practices and embrace change. Booyesen (2007) asserted that companies that practice good corporate governance are to respond to the goals of the stakeholders, especially the government's quest for employment equity transformation. Committed leadership should therefore create organisational trust, psychological contract and retention of organisational memory.

### ***Leadership development***

Leadership development was suggested as vital human resources strategy empower EE candidates with essential knowledge and skills for promotional or appointment opportunities. Leadership development programmes would also be used to increase the number of EE candidates to set them up for leadership succession. Succession planning and graduate development programmes must be developed and implemented to prepare EE candidates to succeed managers who are going on early retirement, resigning and those that may die. Wörnich et al. (2015) suggested that succession planning should be supported by strategies such as training and development and retention schemes for it to be a success. The decisions made by management must not leave the organisation with a leadership vacuum; hence no EE candidates may be available to take over the leadership. Wörnich et al. (2015) also asserted that skills development provides a platform for developing managerial skills and expertise for potential candidates eligible for promotion and management succession.

Lastly, expatriate assignments can also be applied to promote the achievement of meaningful EE reforms. Existing potential employees can be placed on secondment in sister companies operating in foreign countries. Selby and Sutherland (2006) described expatriate assignment as a medium term space creation strategy with potential to increase leadership skills and morale. This opportunity will enable the expatriates to acquire relevant knowledge and experience for promotion.

### ***Supportive Organisational Culture***

The research findings proposed the need to develop a good corporate culture that accommodates diversity, fairness and equality in the workforce. Human resources policies and practices formulated and implemented by an organisation should be informed and ultimately build the culture of the organisation. When an organisation develops a culture of employee skills empowerment there are high chances that EE candidates will be available for appointment to higher management positions. Schein (2010) suggested that leaders should be prepared to step outside their cultural comfort zone with an objective view to effect change. A supportive organisational culture can assist the company to implement successful EE reforms and prevent all forms of unfair discrimination. Further, if mentoring and coaching are integrated into the organisational culture of companies, EE candidates for promotion and management succession would be readily available in the organisations.

### ***The Presence of an Effective Change Management Model***

The availability of effective change management processes is an indispensable reality for driving successful strategic change within any organisation. The introduction and execution of EE reforms should not be random and haphazard, but must follow a clearly defined systematic process to yield notable EE outcomes. Connelly (2008) highlighted the importance of having an established change management process to be followed when introducing change such as EE transformation. Without a clear change management process there will be inconsistencies in EE implementation, and ultimately low EE reform progress will be evident. Hiatt (2006) asserted that there should be awareness for change, desire for involvement to bring change, the knowledge of how to change, ability to implement change and reinforcement to bring sustainable change in companies. The aspects identified by Hiatt (2006) are essential components of the change management process that leadership should provide to attain high EE transformation targets.

It is therefore a key leadership responsibility to ensure that an organisation has a reliable change process with a start and an end. The change process must allow for monitoring and evaluation of the EE strategy to improve EE target performance at management levels. The measuring of effectiveness of EE implementation is a progressive move to pursue high EE targets set by mining companies. A 360 degree

evaluation process may produce tangible EE outcomes since targets will be continuously reviewed. EE monitoring and evaluation should be done at different stages of the change management process, such as planning phase as well as, the implementation phase to facilitate the achievement of targeted EE outcomes.

### ***Human Resources Planning (HRP)***

If the EE strategy is part of corporate strategy, the implementation of the EE can be embedded in the broader context of human resources planning. The HRP will ensure that there is compliance with relevant legislative requirements and improve the overall EE effectiveness in organisations through accomplishment of the desired strategic goals. HRP plays a pivotal role of identifying labour shortages or surpluses on the labour market to decisively meet EE requirements and achieve set business objectives. HRP enables human resources practitioners to conduct human resources demand and supply forecasting and assess the availability of the HR from the internal labour market. Where shortages of EE candidates are identified internally approaching the external market may be an option in order to keep up with EE reforms. The ultimate HR plan can be drawn with possible strategies such as recruitment policy and selection criteria to ensure that EE candidates are hired where shortages are eminent to meet EE reforms, and surpluses of White male employees retrenchment and early retirement may be considered. As proposed by SABPP (2017) the broader implementation of EE within human resources planning will improve the overall effectiveness of the firm in fulfilling its strategic goals.

### ***Recruitment and Selection Strategies***

Informed by the HR plan human resources practitioners decide on the appropriate recruitment and selection strategies. Affirmative action related measures associated with recruitment and selection must be applied to address management level disparities by instituting preferential recruitment of EE candidates, and also creating a pool of managerial entry level posts to be filled in by individuals from designated groups. Therefore, the EE target set can be achieved if recruitment is done after considering the existing EE statistics in order to correct the imbalances within management teams. Promotions and transfers can be applied as part of internal recruitment to increase the numbers of EE candidates in management. As recommended by Booyesen (2007) that recruitment policies and strategies should be

aligned and integrated with strategies that are targeted at promoting employee retention. Boonzaier and Boonzaier (1999) suggested that the recruitment and selection panellists should be representative enough to effect meaningful EE change.

### ***Talent Management***

As part of talent management, human resources practitioners should ensure that where shortages of EE candidate are anticipated, appropriate skills training and development programmes must be scheduled and conducted to increase the pool of designated individuals.

The provision of job coaching and mentorship programmes to EE candidates with potential to occupy management positions must be considered. Candidates that receive proper mentoring and coaching are readily positioned to receive appointments for higher levels when vacancies arise. These talent management strategies provide a clear success plan that accommodates EE candidates to assume leadership positions when opportunities arise in the companies they work for.

Human resources practitioners in collaboration with executive management must introduce adequate employee retention schemes targeted at EE candidates into the human resources practices to ensure that the candidates do not prematurely leave their jobs. The retention strategies must include short-term retention bonus, and long term share options to make EE employees to stay in their employment so that their company may not experience shortages that have strategic impact on EE reforms. The process entails the allocation of financial resources to train identified candidates in specific knowledge and skills to meet future human resources organisational needs such as leadership succession.

Conducting an effective job evaluation exercise should be prioritised to ensure informed job ranking for meaningful benchmarking of remuneration and clear career pathing. Employee retention would be possible if employees become formally aware of the different jobs in the organisation structure that would enable them to plan their career by identifying internal career opportunities. If properly executed job rating can

produce important results that help to retain competent employees and also improve the competitive advantage for the company.

### ***Diversity management***

Another leadership role is diversity management to prepare the entire workforce for the achievement of EE targets. As earlier pointed by Wörnich et al. (2015) the success of diversity management process requires commitment from senior leadership to enable all employees in the organisation to explore their full potential. Diversity management training empowers managers and employees to tolerate the cultures of other people and cooperate for better corporate performance. When diversity is effectively managed a firm is likely to experience positive gains such as creativity, innovation, product quality and improved decisions.

### ***EE Implementation Committee***

Another way proposed to address the challenges of low EE targets from the results is the establishment of EE implementation committee to spearhead the execution of the EE process. The argument is that EE planning should be followed by effective implementation to realise the set EE goals and objectives. The composition of the EE committee should comprise the right members who are genuinely driven to witness positive EE reforms. Training of the EE committee members is recommended to equip them with necessary knowledge and expertise of EE transformation and the implementation process.

### **Conclusion**

The discussion of results in the previous section supported the view that there are critical success factors that result in high EE success and barriers that deter EE success at management level in the South African mining industry. The aim of the present study was to identify the critical success factors from high success cases from employment strategies and practices implemented to the achievement of EE targets, while low success cases responses provided a better understanding of possible barriers to EE transformation resulting in low EE progress (Brinkerhoff, 2003). Based on the findings of the present study and their subsequent contextualisation to the intended scope of study, the overall conclusion was that all

the four research objectives set for the present study were substantially addressed. The objectives are reiterated as follows:

- 1) To identify in literature reasons/factors that support equity transformation, especially within management levels;
- 2) To investigate mines that have been successful in bringing about equity transformation within their middle- and executive management teams (so-called success cases) and identify possible reasons that explain their success;
- 3) To investigate mines that have not been able to bring about meaningful transformation (so-called non-success cases) to identify the barriers they experience that hinders their progress in this regard; and
- 4) Lastly, based on the reasons for and barriers to successful equity transformation, were made recommendations to mining organisations that will hopefully assist them in reaching their EE targets.

### **Limitations of the Study**

Racial prejudices surrounding employment equity transformation may have affected the insights of the respondents in their response to some of the interview questions. There may also have been social desirability present in the manner in which they responded i.e. to present a more positive impression than might necessarily be true. Deliberate efforts were made to keep the interview sessions aligned to the research objectives and respondents were repeatedly ensured that their responses would remain confidential and anonymous. There is also a risk that questions are misinterpreted, for example due to an individual's biases. Lastly, there was a possibility of personal bias from self-reporting in the study which might have affected the research results, despite consistent effort by the researcher to remain objective. The study was based on a small sample size of six participants from selected mining organisations so the results cannot be generalised.

## **Recommendations for future Studies**

This present study focused on identifying critical success factors leading to, and the associated barriers to EE transformation progress, within management levels in the South African mining industry by evaluating the performances of success cases and success cases. Building on the present study, the following future research topics are suggested:

- The impact of EE success cases on organisational performance in the mining industry;
- The impact of legislation in fostering EE transformation at management levels in the private sector; and
- It would be interesting to perform replication studies of progress of employment equity transformation at management level to compare results in specific industries.

## **Contribution of the present study**

Despite limitations highlighted in the section above, the findings of the present study contribute to both the existing EE theoretical knowledge as well as towards the practical application of EE reforms in non-success mines.

### ***Theoretical contribution***

The results of the provide substantial evidence to support the importance of effective and committed leadership in mines that achieved EE success within their management teams, notwithstanding the barriers to EE implementation identified in the non-success cases. It was also clear that the present of key success factors did not guarantee success of EE reforms in mines, but the deliberate and effective implementation of the practices and strategies make a difference.

### ***Managerial Implications***

Given the knowledge added by the present study, it is imperative for managers and EE consultants to adopt the following measures:

- Adopt EE reforms as corporate strategy embrace by the entire organisation;

- Provide effective and committed leadership to champion the implementation of the EE strategy;
- Establish an EE committee with a mandate to develop a clear EE plan, monitor and oversee the effective implementation of the plan;
- Embed the EE plan in employment policies and practices such as HR planning, recruitment and selection, talent management, and succession planning;
- Provide tangible incentives aligned to the EE targets to ensure success of EE reforms; and
- Ensure continuous monitoring and evaluation of EE targets.

## **Conclusion**

The aim of this research was to investigate the critical success factors contributing towards EE success, as well as the barriers resulting in EE non-success to improve EE transformation within management level in the South African mining industry. The results of the current study achieved the research objectives as substantiated by the summarised conclusions and recommendations of the current study. The contribution of the current study is mainly towards other mining companies that could hopefully apply the recommended employment policies and practices and other related strategies that lead to the achievement high EE targets to improve their EE status.

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## APPENDICES

### Appendix 1: Interview information sheet and schedule



**UNIVERSITY OF CAPE TOWN**  
IYUNIVESITHI YASEKAPA • UNIVERSITEIT VAN KAAPSTAD

#### Introduction

Thank you for agreeing to be interviewed as part of my research project which attempts to understand the extent of employment equity transformation at management level in the South African mining industry. There has been slow progress in employment equity transformation in mining companies despite the introduction of labour law reforms in democratic South Africa. This study seeks to assist mining companies to adopt human resources strategies that promote the attainment of their employment equity targets and make meaningful reforms.

The study seeks to explore the progress of employment equity transformation at management level in the South African mining industry?

This study forms part of my Masters in People Management in the Commerce Faculty UCT. The researcher has acquired research ethics approval for this study from the Commerce Ethics in Research committee.

In this study the researcher will investigate: 1) the current extent of employment equity transformation at management level within the South African mining industry; 2) the role of effective leadership in bringing about transformation; 3) employment equity policies practices that are meant to bring about these changes; and 4) identifying obstacles to bringing about employment equity within management levels in the mining industry.

#### The interview

The interview will last for around 45 minutes to one hour and is an opportunity for you to think through and articulate your perspective. It is fully confidential and all responses are non-attributable. The findings from the face to face interviews will be used to answer the research problem, make conclusions and recommendations to improve employment equity transformation in South African mining industry.

The outcome of the research will be written up as part of my dissertation for submission in February 2018. Once the examination has been completed, I would be happy to send you a copy if you are interested.

Prior to undertaking this interview, please sign the attached Interview Consent Form to indicate your agreement with the procedure. If you have any questions, please do not hesitate to contact me on [ludy.kekana@gmail.com](mailto:ludy.kekana@gmail.com)

## INTERVIEW GUIDE QUESTIONS

It is widely acknowledged that the executive leadership team has a crucial role to play in addressing employment equity and, in particular, transforming the demographics of management levels.

### HIGH SUCCESS CASE BASKET QUESTIONS

Based on the 2016 EE report obtained from the Department of Labour, your organisation has achieved high success in implementing employment equity at management levels.

#### 1. **What is really happening? /What was used?**

1.1 *How is legal compliance to labour legislation viewed by the leadership in your organisation?*

1.2 *How is employment equity reform implemented in your company? Elaborate the change management process.*

1.3 *What human resources strategies, policies and practices (for example, recruitment, selection, training, promotion, and mentoring and coaching, succession planning and talent management) are in place to promote Employment Equity in your company?*

#### 2. **What results were achieved?**

2.1 *How effective were the human resources practices such as recruitment, selection, training, promotion, and mentoring and coaching, succession planning and talent management?*

2.2 *What results have been accomplished in terms of bringing about demographic change in the demographic profile of managers? What is the perceived value of these changes?*

#### 3. **What good did it do?**

3.1 *How important were the accomplished results? What goals were achieved by applying the human resources strategies?*

#### 4. **What helped?**

4.1 *Were there any special incentives and rewards in place to encourage the successful implementation of the EEP in your company?*

## **5. Suggestions?**

*5.1 How could the demographic representation of those in management levels be further improved? What environmental factors have in the past enabled transformation at management levels?*

### **LOW SUCCESS CASE BASKET QUESTIONS**

Based on the 2016 EE report obtained from the Department of Labour, your organisation has achieved low success in implementing employment equity at management levels.

#### **4. Bucket 1: Barriers?**

*4.1 What are the obstacles impeding the effective employment equity transformation of managers in the mining industry?*

*What are the factors that have hindered the achievement of EE targets at the management level in your organisation?*

#### **5. Bucket 2: Suggestions?**

*5.1 Suggest ways to address the challenges that have hindered or delayed the implementation of the EE plan at management level in your organisation.*